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ABSTRACT

The Commission on School-Based Administration appointed in Maryland in 1985 examined six factors bearing on the effectiveness of the principalship: (1) the role and function of the principal, (2) preparation programs, (3) certification requirements, (4) selection practices, (5) professional development practices, and (6) evaluation practices. This booklet presents the commission's report. The first of the booklet's eight sections introduces the report, describing the charge to the commission, the commission's organization of its task, and the organization of the report. The second section reviews the role and function of the principalship; the commission used its recommendations on this topic as the guiding rationale for its deliberations in the remaining topic areas. Sections 3 through 7 are devoted to the five remaining topics listed above. Each of these sections introduces its topic, establishes the relationship between its topic and the topics of other sections, lists the major issues considered, briefly describes existing practices, and states the commission's recommendations and their administrative and fiscal implications. Section 8 summarizes the 48 recommendations, indicating whether program, regulatory, or financial solutions are indicated. The report also includes a letter of transmittal, acknowledgments, a list of commission members, and an executive summary, as well as supporting figures and tables. (PGD)

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Improving the Effectiveness of School-Based Administration in Maryland

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EA 019 406

The Maryland Commission on School-Based Administration

February 1987

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LETTER OF TRANSMITTAL

Mr. David W. Hornbeck
State Superintendent of Schools
Maryland State Department of Education
200 West Baltimore Street
Baltimore, MD 21201

Dear Mr. Hornbeck:

It is with pleasure and considerable pride that we transmit to you the Report of the Maryland Commission on School-Based Administration. The recommendations contained in this report represent, in the Commission's view, a continuing opportunity for Maryland to maintain its leadership position in the development of major school improvement initiatives designed to enhance the quality of elementary secondary/education for the children and youth in the state.

The recommendations of the Commission provide a blueprint for the development of a needed set of comprehensive, integrated, and cohesive policies for enhancing the effectiveness of school-based administration in the State of Maryland. Their implementation will require concerted cooperative effort by local school systems, the Maryland State Department of Education, and the colleges and universities within the state given the responsibility of providing preparation programs for prospective principals.

We have recommended much more emphasis be given to the educational *leadership* dimension of the principalship in contrast to the traditional educational *management* role of the principal. Consequently, preparation programs and certification requirements need to be dramatically altered with a particular emphasis given to the acquisition of a set of clinical skills vital to successful school leadership and successful demonstration of those skills prior to licensure to practice as a principal. School systems need to develop selection models that identify highly able candidates, nurture their development, and assure that only the most capable are selected. Particular emphasis needs to be given to the identification, development, and employment of women and minorities in the selection practices used by school systems. After an individual is selected to perform this key leadership role, we need to give much greater prominence to their continuing development and evaluation than has been generally the case in past practice. The centerpiece of the Commission's recommendations on evaluation, professional development, and recertification practices is the institution of an Individualized Professional Development Plan jointly developed by the practicing principal and the local school system.

The Report—given what we know about the pivotal role the principal plays in school effectiveness, and, given a set of demographics that indicates a need to anticipate considerable turnover in the ranks of the principalship in the next four to eight years—represents an unmatched "window of opportunity" that demands fundamental, long-term changes in the way principals are prepared, certified, selected, developed once on the job, and evaluated.

We stand ready to assist the Department, local school systems, and the state's colleges and universities in the implementation of these recommendations.

Sincerely,

Joseph L. Shilling

Joseph L. Shilling, Chairman
Maryland Commission on School-Based Administration

ACKNOWLEDGEMENTS

The Commission is grateful to a number of people who made significant contributions to our work. Local school systems, colleges and universities, the State Department of Education, and numerous state and national organizations and professional associations were extremely forthcoming both in providing baseline information and critiquing the work of the Commission at various developmental stages. The assistance of those principals, board of education members, superintendents, and local school system central office staff members who served on various subcommittees was invaluable.

Many individuals made significant contributions to the work of the Commission and for that we are most appreciative. Three people deserve special recognition for their effort. Dr. E. Robert Stephens, a member of the Commission and its Executive Secretary, helped plan and guide our work and was largely responsible for taking the thoughts and recommendations of the Commission and skillfully putting them into written form. Lawrence E. Leak, a Research Assistant with the Research and Development Laboratory on School-Based Administration at the University of Maryland, College Park, worked tirelessly with both the Commission and its subcommittees to provide background information and analyze available data. Susan Dorcey, who served as secretary to the Commission and the subcommittees, deserves our special thanks for the hundreds of hours spent composing, revising, and typing numerous drafts of the Commission's work.

To all who assisted us in our work, we are grateful.

MEMBERSHIP

The Maryland Commission on School-Based Administration

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EXECUTIVE SUMMARY

Introduction

In January 1985, State Superintendent of Schools David W. Hornbeck appointed a twenty-member Commission on School-Based Administration to examine six factors that bear on the effectiveness of the principalship:

- the role and function of the principal
- preparation programs
- certification requirements
- selection practices
- professional development practices
- evaluation practices

This expanded focus on the principalship is consistent with the growing body of research on school effectiveness that has established the pivotal role played by the principal in the quality of education. The appointment of the Commission and the broad-based charter it was provided by the State Superintendent is the latest in a series of major school improvement initiatives launched in the state during the past decade designed to enhance the quality of elementary secondary education.

Beginning at the Beginning: The Role and Function of the Principalship

The first task assumed by the Commission was to develop a consensus description of the role and function of the principalship that would serve as the foundation upon which all of its subsequent deliberations on preparation programs, certification requirements, selection practices, professional development practices, and evaluation practices would be based. As might be expected, this proved to be no insignificant task. While there is a growing body of literature supporting the thesis that one of the most significant factors that determines the quality of the place called school is the school principal, substantial debate (and prevailing practices!) surrounds the issue of what role and function should be performed by that individual who occupies the position of school building principal.

Recommendations

After considerable discussion, the Commission has adopted a role and function statement for the principalship it feels is supportable by the research literature on effective schools and the research literature on effective principals. The position taken by the Commission is that the principal must provide both the educational leadership and the managerial direction for the school.

Educational leadership is defined as the initiation, implementation, and institutionalization of school-wide change that results in the improvement in student educational achievement and opportunity. The principal has the primary obligation to "make a difference" in the school by providing leadership to faculty, parents, and students as change and improvement are considered. Educational management, on

the other hand, is defined as the maintenance of the stability and security of an organization as it is directed and controlled on its given course. These dimensions of leadership (change) and management (stability) result in the principalship being dynamic and requiring a continuous interplay between change and stability.

The Commission believes that the principal exercises educational leadership and management abilities in a number of functional areas, the six most important being instructional maintenance and improvement (the most central of all!); professional development and services; pupil development and services; school and community relations; administration of facilities and finances; and organizational relationships and responsibilities. Moreover, in the implementation of the principal's role, the major differences in the role and function of the elementary, middle/junior high, and high school principals (especially those having to do with the diversity of the curriculum, the specialization of staff, the nature of the student body, the scope of the program, and diversity of publics dealt with) should be appropriately reflected in the way that the job is designed and implemented.

And further, the Commission believes that in exercising the considerable responsibility of the position, the principal should work in a collegial manner with the school's professional team—especially the teachers. In a collegial climate the staff works together to build the philosophy, objectives, policies, and programs of the school. The collegial model empowers the staff to make local building decisions together. The principal leads, coordinates, supports instruction, and assists staff to reach consensus on important issues. The principal's authority, responsibility, and accountability are exercised in such a way that the judgment and commitment of all staff members are nurtured and valued in decision-making.

Strong consideration should be given to the role and function statement espoused in this report as local school systems define the role and responsibility of the principal and as colleges and universities design principal precertification preparation programs. The Commission recommends that:

- the role and function of the principal should be to provide both the educational leadership and the managerial direction for the school. Specifically, the principal should exercise educational leadership and managerial ability in the following six functional areas: instructional maintenance and improvement, professional development and services, pupil development and services, school and community relations, administration of facilities and finance, and organizational relationships and responsibilities.

Preparation Programs

Colleges and universities have historically played the dominant role in preparation programs leading toward certification of principals. In recent years concern about the quality and effectiveness of pre-certification programs has been increasingly voiced by practicing administrators, college and university faculty, and the policy communities. The present debate addresses virtually all aspects of these programs. The Commission concentrated its attention on five fundamental issues: the content of an effective preparation program; the criterion to be used for both pro-

gram admission and exit decisions; the appropriate program differentiation, if any, among the elementary, middle/junior, and high school principalship; meaningful ways to effect needed collaboration between colleges and universities and the prime recipients of graduates of their programs, the local school districts; and the accessibility of program sites to local districts.

Recommendations

The Commission's proposals for strengthening pre-certification preparation programs are contained in a number of recommendations that address the major dimensions of the issues cited above. Regarding student recruitment and admission, the Commission recommends that more systematic and sustained collaborative efforts be launched to encourage promising candidates to pursue careers in school administration, and that special attention be given to the development of recruitment strategies aimed at minority group members and women. College and university admission standards should assure that only candidates possessing the highest intellectual abilities and aptitude for the principalship are admitted. The use of pre-admission diagnostic skill exercises and their results will not only help achieve these objectives but can also aid in program planning for those who are granted admission. Another admission recommendation that will do much to enhance the quality of preparation programs calls for requiring that a candidate for admission already possess, or be eligible to hold, an advanced professional certificate (APC), or its equivalent for out-of-state candidates, directly related to his/her area of teaching specialization. This recommendation is aimed at promoting a more concentrated program of studies in a reasonable period of time. The final recommendation related to student recruitment and admission urges that colleges and universities, aided by local systems and the state education agency, promote valuable full-time study opportunities for promising candidates. The near exclusive use of part-time study, protracted over several years, is viewed to be a major constraint in the profession.

The accessibility of approved programs is also viewed as a major handicap for students residing in the Eastern Shore counties. The Commission recommends that the Maryland State Board for Higher Education accelerate its current efforts to promote the establishment of a program that would serve that large geographic region of the state.

The content of preparation programs is the focus of a number of the most critical of the Commission recommendations. Taken together, the recommendations call for sweeping changes in the training of principals prior to initial certification. The Commission recommends that:

- the program be thirty-six (36) graduate semester hours in length, three (3) of which to be in the form of numerous on-site practica, and three (3) to be in the form of a ten-week, full-time, non-paid, on-site internship with a carefully selected principal and jointly planned and supervised by the college or university and local school system;
- prominence in the program should be given to the acquisition of conceptual knowledge and clinical skills in a large number of areas judged to be necessary to perform effectively the educational leadership and management dimensions of the six major functions of the principalship;

- in addition to the general academic core, the program of studies should include specialized academic and clinical dimensions that reflect the demonstrable differences in the context in which elementary, middle/junior, and high school principals must function;
- the program should include the acquisition of cognitive knowledge of the major methodologies appropriate for the study of education, develop an ability to read and assess the research literature, and provide the student with skills to design and complete a research project; and
- the candidate must demonstrate competencies in the clinical skill areas as one of the requirements for completion of the program.

Methods of instruction used by faculty of colleges and universities in the development of both the conceptual and clinical skills recommended should move away from the almost exclusive use of the didactic approach in a classroom setting if meaningful experiences are to be provided. The state's colleges and universities are also urged to establish a mechanism for the joint development and sharing of instructional materials and joint use of promising technology for enriching the instructional features of their programs.

All of the local school systems in the state as well as the state's colleges and universities have a vital stake in improving the quality of the content of principal preparation programs. This shared mission is recognized by the Commission in still another recommendation urging meaningful collaboration between the two groups in the planning and development of programs, especially the proposed expansion and enrichment of clinical experiences.

The recommendations of the Commission for improvements in the quality of precertification preparation for principals will require an infusion of new monies to support institutions offering such programs. This fact is recognized by the Commission in its recommendation that the Maryland State Board for Higher Education seek changes in existing state funding formulas for public colleges and universities for program support and adopt an allocation system that more adequately supports higher costs associated with graduate professional education, particularly those having a strong clinical component as is true of the one recommended here.

The final two Commission recommendations for strengthening preparation programs offered by colleges and universities focuses on ways to improve the evaluation of the programs. On the one hand, the Commission recommends that MSDE reassess its current program approval standards toward the end of making the standards consistent with all recommendations of the Commission for strengthening the quality of preparation programs. In addition to this proposed vastly improved external review process, the Commission also urges colleges and universities to enhance their internal review practices by engaging in periodic comprehensive self-evaluations. In this effort, special prominence should be given to securing program effectiveness data from both currently enrolled students and recent graduates, and from local school system personnel knowledgeable about the performance of recent graduates.

Certification Requirements

The certification of principals is the major process by which the public and the profession are assured that individuals entering the principalship have the prepara-

tion necessary for successful performance. As is true of all other dimensions of the work of the Commission, substantial debate in this state and elsewhere currently surrounds certification requirements. The fundamental issues considered by the Commission focused on three themes: the adequacy of existing criteria used for certification; the number of ways that an individual can satisfy certification requirements; and the types of certificates that should be issued and the duration period of the certificate(s).

Recommendations

The Commission developed seven recommendations concerning these basic issues. The criteria to be used for initial certification and the number of ways an individual can satisfy these requirements are the focus of four of the recommendations. Changes in the criteria proposed by the Commission are that:

- applicants should have five years of successful teaching experience at the appropriate level;
- for graduates of a Maryland-accredited college or university, only those who complete an approved program for school-based administration should be eligible, and must, in addition, successfully complete an MSDE assessment exercise designed to assure that a candidate demonstrates clinical skills in ten central skill areas judged to be prerequisites for successful school-based administrators; and
- graduates of an approved program for school-based administration offered by an accredited college or university outside the state must submit a comprehensive case file of their graduate work for review and approval by an MSDE review panel; individuals with less than three years experience as a principal must also successfully complete an MSDE assessment exercise.

These changes in the criteria and ways that an individual can achieve initial certification are intended to promote the development of preparation programs that are sequential, cumulative, and focused, as they must be if the goal of a meaningful training program is to be realized. The proposed elimination of the current credit count option for certification stands as concrete evidence that the profession and the state are committed to the notion that there is indeed a body of knowledge and a set of carefully prescribed experiences that are essential for the effective training of those who wish to be licensed as principals in this state. The recommended demonstration of proficiency in selected skill areas stands as an important check on the quality of programs offered by colleges and universities and represents a form of program accountability heretofore absent.

The Commission recommends the continuation of the current practice of differentiation between an elementary, middle/junior, or high school principal's certificate. And, the Commission believes that it is in the public interest to discontinue current practice which virtually amounts to life-long certification. The need to continuously keep abreast of the latest research and state-of-the-art practice in school-based administration is obvious. The recertification process proposed by the Commission will give added weight to the importance of systematically planning for needed career-long training for the principalship and, in addition, will provide meaningful direction for principal evaluation practices used by a local school system.

Selection Practices

The selection of school principals has historically been the sole responsibility of local school systems and is clearly among the most critical decisions that a school district must make. In the view of the Commission, four fundamental questions embrace the basic issues that ought to be addressed in considering principal selection practices: what processes should be used? what criteria should be used? what elements of fairness, access, and equity should be a part of the selection process? and should there be a level of state involvement in the selection practices used by local systems?

Recommendations

The Commission believes that the selection of principals should remain the responsibility of local school systems. However, improvements in existing practices must be made. The centerpiece of the Commission's recommendations for achieving this goal is the recommended use of a three-step model that includes comprehensive pre-screening, screening, and selection activities.

The proposed model is designed to improve a system's ability to identify the best possible person for a position, promote the development of job descriptions that are related to actual job requirements for the position, promote the use of specific selection criteria, and facilitate fairness and equal access in the selection process for all qualified individuals.

Local systems are also urged to engage in continual evaluation of their selection practices, particularly with regard to the impact of their activities on the selection of minority group members and women.

The conduct of periodic supply and demand studies in the state should also benefit local school systems in their selection activities. This effort should be a joint enterprise of local school districts, colleges and universities (who can also use the results in program planning), and MSDE.

In addition, the Commission recognizes the importance of adequate salaries for the recruitment of high quality individuals to the principalship. It is recommended that beginning and career salaries of principals be professionally competitive and market sensitive. The use of a twelve-month contract, argued for elsewhere in the report as an important facilitator for the establishment of meaningful principal professional development, would also contribute to the goal of making the principalship an attractive career.

Professional Development Practices

Professional development once principals are on the job is essential for both the principal and the school system. In examining professional development needs of principals, the Commission focused on four major issues: the planning and delivery of professional development programs; organizational commitment for professional development; funding for professional development; and collaborative relationships among the major professional development providers in the state—local school systems, colleges and universities, and the MSDE.

Recommendations

The Commission offers five comprehensive recommendations for strengthening professional development practices in the state. One of the major thrusts of the recommendations in this cluster is the call for the adoption by local school systems, the MSDE, and colleges and universities of a policy commitment, and a parallel fiscal commitment, for the development of a comprehensive program of staff development. Especially critical here is the commitment of:

- local systems to provide time and resources for professional development, including the use of twelve-month contracts for principals;
- local systems and the MSDE to develop more effective funding strategies to adequately finance professional development activities, particularly the allocation of an additional percentage of the current expense formula for this purpose and an increase in the funding of state-supported professional development activities; and
- public colleges and universities to reevaluate their credit count driven budget process to include public service activities of faculty of the institutions.

Other recommendations are that each local school system should have the responsibility and the autonomy for designing and administering its own professional development program that addresses district needs and that the professional development activities of the MSDE should address state-wide concerns and be planned in collaboration with local systems.

Another centerpiece of the Commission's recommendation is the call for linking the administrative evaluation process used by local school systems to the development of an individualized professional development plan (IPDP) for principals. A linkage of this type and the further recommended use of the successful completion of IPDPs as a prerequisite for the recertification of a principal would provide additional meaningful direction and focus to professional development activities.

The final recommendation offered by the Commission is that the reward system used by colleges and universities must be such that it provide incentives for the full participation of faculty in professional development activities sponsored by local systems, the MSDE, or by the institutions themselves.

Evaluation Practices

The continuing search for procedures that provide for the meaningful performance appraisal of principals is a priority of the highest order. Failure to establish a systematic plan that will provide answers to how well those who have the responsibility of providing leadership at the school building level are doing in discharging their responsibilities will seriously undermine all other efforts to strengthen the principalship addressed elsewhere in this report.

As is to be expected, the issue of the evaluation of principals forces consideration of a large number of questions, many of which have embedded in them differing value judgments as well as varying viewpoints on how best to approach this task once agreement is reached on the fundamental purpose of performance appraisal. In the view of the Commission, five over-arching questions embrace the basic issues that ought to be addressed in considering evaluation practices: What should be the

purpose or purposes of the evaluation? What should be the focus of the evaluation? What should be the conditions of the evaluation? Who should evaluate the principal? What should be the role of the state in this activity?

Recommendations

The Commission developed a number of recommendations concerning these basic issues. With regard to the organizational responsibility issue, the Commission believes that the long-standing tradition in this state of local control over all aspects of the evaluation of principals is the most effective system and should be retained. Concerning the purposes of evaluation, the Commission holds the view that evaluation practices should achieve three overriding objectives: they should improve the performance of the individual, while simultaneously bringing about improvements in the school building, and subsequently, the school system.

A number of the recommendations deal with procedures to be used that are consistent with the three-fold purposes of the evaluation argued for by the Commission. In the first instance, it is recommended that six common components be incorporated in all evaluations: (1) an initial systematic review of the role and function of the individual; (2) the establishment of performance standards; (3) a comprehensive review of progress; (4) an assessment of achievement; (5) a review of results; and (6) the development of an individualized professional development plan (IPDP) for each evaluatee. However, it is also argued that in the implementation of these six common components, distinctions in the role and function of elementary, middle/junior high, and senior high school principals should be appropriately reflected.

Other procedural recommendations that are designed to promote the three-fold purposes of evaluations are that:

- formal evaluations for both newly appointed principals and those in the first year of a reassignment should be conducted at the end of the first year, and at two-year intervals thereafter;
- the prime responsibility for the evaluation should be assigned to an individual or individuals in regular contact with the evaluatee and that great care must be exercised in establishing the number of principals assigned to one evaluator;
- supporting data to be used in the evaluation should be established by the evaluator and evaluatee at the commencement of the process and that carefully constructed individualized written self-evaluations should be included;
- the processes and practices used by the principal in monitoring student and faculty performance data and the way in which these data are used to achieve school system goals should be included in the scope of the evaluation;
- local systems should commit resources for the periodic and systematic training in personnel appraisal for all evaluators; and
- all procedures of the evaluation process be subjected to periodic assessment and that principals be deeply engaged in these activities.

The final series of recommendations center on the nature and uses of the instruments used in the evaluation. Because of its necessary centrality to the entire evaluation process, great care should be exercised to ensure that the evaluation instrument used is highly compatible with the stated purposes of the evaluation. Moreover, it is recommended that the six major functions of the principalship, particularly the central responsibility for instructional maintenance and improvement, be used as the

building blocks for the construction of the instrument. And, most importantly, it is argued that performance criteria should be used to measure the objectives of the evaluation. However, the performance criteria and indeed the entire instrument should be designed to ensure that meaningful differentiation of levels of performance is possible.

Implications of the Recommendations

Implementation of the recommendations has implications for the major state and local agencies and organizations for whom the recommendations are directed. The Commission has established what it perceives to be the nature of the implications (program character, regulatory character, and financial character) of each of its recommendations for either local school systems, colleges and universities, the Maryland State Department of Education, or for the Maryland State Board for Higher Education.

The vast majority of the recommendations have implications of a program character, thus requiring only modifications in existing practices. Some have implications of a regulatory nature and reference to the modifications of this type that would be required are identified. A number of the recommendations have significant implications of a financial character. However, because implementation strategies and schedules cannot be fully anticipated, estimates of the fiscal costs of the recommendations would be premature and, therefore, are not included.

SECTION ONE
Introduction to the Report

For more than a decade, well before the current national interest in school reform, Maryland has been engaged in a series of major school improvement initiatives designed to enhance the quality of elementary/secondary education for the children and youth in the state's twenty-four local school districts. In 1976, the first of these efforts occurred when Project Basic was launched establishing a set of learning requirements for all students in the state in the areas of reading, mathematics, writing, and citizenship. As a graduation requirement, students must now demonstrate competency by passing examinations in these four areas.

In a related initiative, the State Department of Education began in 1979 to develop curricular frameworks in social studies, science, language arts, mathematics, foreign language, physical education, and fine arts for use in the schools of the state. In 1981, the State Board of Education appointment of a statewide Commission on Quality Teaching centered attention on that critical issue.

In 1982, with the development of Project Basic nearing completion, the design of curricular frameworks well under way, and quality teaching being addressed, the State Board of Education initiated still another major probe: an examination of the substance and structure of secondary education. This activity was assigned to a twenty-member Commission on Secondary Education. Their final report is presently under consideration by the Maryland State Board of Education.

The latest activity in the broad-based approach Maryland has used over the past decade to improve the effectiveness of its schools was the appointment by the State Superintendent, in January 1985, of a twenty-member Commission on School-Based Administration. This new focus on the principalship is consistent with the growing body of literature on school effectiveness that has established the pivotal role played by the principal in the quality of education.

Charge to the Commission

The State Superintendent presented his charge to the Commission at its orientation meeting held in January 1985. The full text of the charge is presented in Figure 1.1.

FIGURE 1.1
CHARGE TO THE COMMISSION ON SCHOOL-BASED ADMINISTRATION FROM DAVID W. HORNBECK, STATE SUPERINTENDENT OF SCHOOLS

The Maryland Commission on School-Based Administration is established as a collaborative effort among local school systems in Maryland, the Maryland State Department of Education, and Maryland colleges and universities which offer preparation programs for school-based leadership personnel. Its purpose is to improve the effectiveness of school-based leadership in this state. We enter upon this effort because of our belief, supported by research and numerous professional studies, that the school-based administrator, particularly the school principal, is the most important factor in developing effective schools.

The parties that comprise the Commission have discrete responsibilities for the preparation, development, certification, selection, and evaluation of school-based administrators, but the integrated effort of all is essential to the maintenance and improvement of the quality of schooling provided the children and youth of Maryland.

The Commission is charged to examine the following six aspects of school-based administration and, as it concludes to be appropriate, make recommendations for change:

- The role and function of school-based leadership personnel
- Preparation programs offered by colleges and universities
- Certification programs currently in use by the Maryland State Department of Education
- Selection practices used by local school districts
- Professional development activities offered by local school systems, the State Department of Education, and colleges and universities
- Evaluation practices used by local school districts

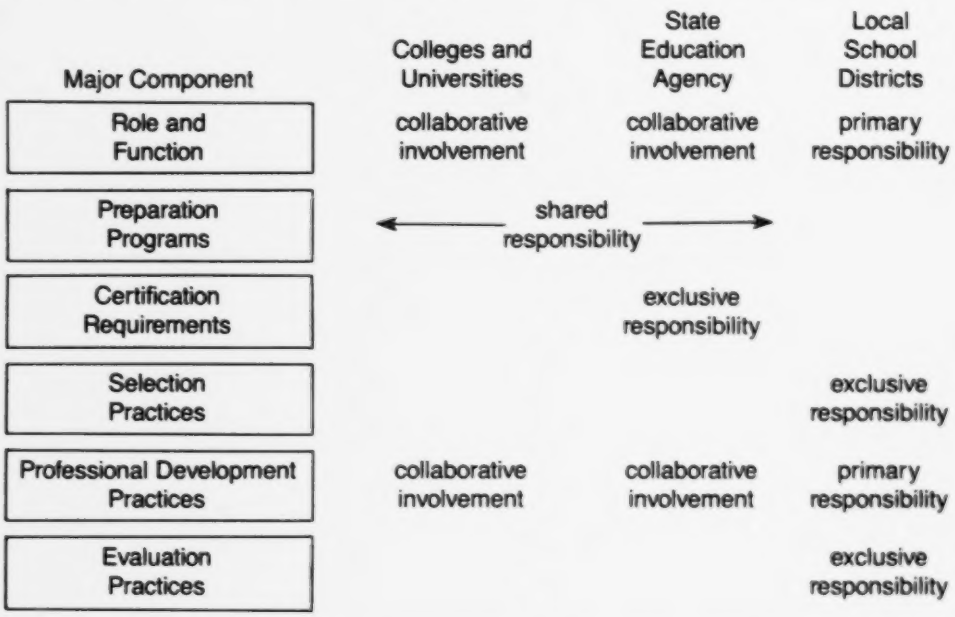
The Commission is charged, additionally, with providing advice and counsel for the establishment, development, and maintenance of both a statewide regional assessment center program for school-based leadership personnel and a Research and Development Laboratory for School-Based Administration at the University of Maryland which will support the assessment center activity and investigate other substantive issues dealing with school-based leadership which the Commission identifies. In fulfilling this charge, the Commission will serve as the Policy Advisory Board for both activities. I use the term *Policy Advisory Board* deliberately recognizing that participating colleges and universities, local school systems, and the Maryland State Department of Education are each governed by their own administration and boards and, at appropriate moments, various actions may require the consent of those individuals or groups. The spirit we seek is a unified and collaborative effort toward significant support for school-based leaders by all the parties represented on this Commission.

It is our vision that the dynamic interplay between the six aspects of school-based administration outlined in the first charge to the Commission and the assessment center and research laboratory concept can result in significant improvement in the way we prepare, certify, select, develop, and evaluate principals and other school-based leaders.

The charge includes six major aspects of school-based administration: (1) the role and function of the principal, (2) preparation programs, (3) certification requirements, (4) selection practices, (5) professional development practices, and (6) evaluation practices. A schematic diagram of the existing discrete and shared responsibilities among local school systems, colleges and universities, and the State Department of Education for these aspects is shown in Figure 1.2.

FIGURE 1.2

EXISTING ORGANIZATIONAL RESPONSIBILITY FOR EACH OF THE MAJOR COMPONENTS IMPACTING ON EFFECTIVE SCHOOL-BASED ADMINISTRATION



The Commission membership represents all the major parties who have a stake in the range of topics identified in its charge. Included were representatives from local school districts (superintendents of schools, building principals, a classroom teacher, and members of boards of education), colleges and universities, and the state education agency.

From the very beginning, the Commission viewed its mandate as consisting of three primary objectives that, because of their interrelationships, were approached in tandem:

- Objective 1: establishing a rationale for improving the effectiveness of the principal;
- Objective 2: strengthening the pool of potential candidates for the principalship; and
- Objective 3: enhancing the effectiveness of existing principals.

Although focusing attention on the principalship, the Commission feels strongly that much of its rationale for supporting the recommendations that follow has relevance for other school-based administrators, specifically assistant/vice principals. The Commission views the assistant/vice principalship as the prominent position for introducing candidates to the broader realities of the school principalship. Moreover, the assistant/vice principalship is a common position in the career path of most potential candidates for the principalship.

How the Commission Met Its Charge

An overview of the primary activities undertaken by the Commission is provided below. The brief descriptions are grouped into the three broad phases of the work of the Commission: orientation phase, study phase, and action phase.

Orientation Phase

The orientation phase was concentrated between January and June of 1985. During this period the Commission met monthly to consider one or more of the six major topics under investigation. The typical session included a guest presentation by a national or state expert and the dissemination of background materials on the topic being highlighted.

Study Phase

A two-day retreat in mid-summer 1985 formally opened the study phase. At that time, the Commission emphasized development of a consensus on the issues that should be addressed for each of the six major topics. The Commission also decided that it would:

- establish five sub-committees (one for each topic except role and function), each to be composed of three members of the Commission and two members to be recommended by the state professional associations of elementary, middle/junior, and senior high school principals and other professional associations; and
- ask the Research and Development Laboratory on School-Based Administration at the University of Maryland to draft a concept paper on the role and function of principals to be completed in early fall. It was agreed that once endorsed by the Commission, the concept paper should drive the work of the five sub-committees.

The Commission reviewed, modified, and ultimately endorsed the concept paper in early fall 1985. The five sub-committees then began their work, completing it in the fall of 1985 and early winter of 1986. Each sub-committee varied its procedures. Most engaged in extensive reviews of the literature and, where appropriate, gathered base line data through surveys and interviews on the prevailing policies and practices in the state and nation. Many also used consultants from local districts, colleges and universities, and the state education agency.

Action Phase

The Commission developed the recommendations in this report during a series of meetings held in the spring and fall of 1986. Only members of the Commission

itself voted on the recommendations. Final action on the recommendations was taken after a series of regional hearings held throughout the state in late September and early October of 1986.

Organization of the Report

The body of this report contains:

- the Commission's judgments concerning the most meaningful role and function of principals that has guided its work;
- recommendations concerning two critical ways for strengthening the pool of candidates for the principalship: needed changes in preparation programs and strengthening the state education agency's certification requirements;
- recommendations concerning ways to improve local school district selection practices; and
- recommendations concerning the two areas that can contribute to the continued effectiveness of principals and assistant principals once selected: enriching professional development activities for principals offered by local systems, colleges and universities, and the state education agency and strengthening local school district principal evaluation practices. The sequence used for the development of recommendations is presented in Figure 1.3.

FIGURE 1.3

THE SEQUENCE USED FOR DEVELOPMENT OF THE COMMISSION'S RECOMMENDATIONS

Objective 1: Establishing a Rationale for Improving the Effectiveness of the Principal	Section Two: Beginning at the Beginning: The Role and Function of Principals
Objective 2: Strengthening the Pool of Potential Candidates for the Principalship	Section Three: Preparation Programs
Objective 3: Enhancing the Effectiveness of Existing Principles	Section Four: Certification Requirements
	Section Five: Selection Practices
	Section Six: Professional Development Practices
	Section Seven: Evaluation Practices

As established previously, the section on the recommended role and function of principals endorsed by the Commission served as the guiding rationale for all recommendations that follow. Each of the remaining sections on preparation programs, certification requirements, selection practices, professional development practices, and evaluation practices follows a standard format:

- a brief introduction that emphasizes the importance of the topic and establishes its relationship to one or more of the other topics;
- a list of the major issues considered;
- a brief description of existing practices; and

- the recommendations of the Commission and for each, a brief statement of rationale and a brief statement of the major implications, especially those of a program, regulatory, or fiscal character. The Commission has attempted to indicate where fiscal implications for the recommendations exist. Because specific implementation strategies and schedules cannot be fully anticipated, estimates of the fiscal costs of the recommendations would be premature and therefore are not included.

SECTION TWO
Beginning at the Beginning: The Role and Function of the Principalship

The school principal is one of the most significant influences on the quality and character of the place called school. Although the learner and the teacher play large roles, the school principal is the one individual directly involved in every aspect of the school's life.

In 1973, the following comments were made about the school principalship:

> A fundamental weakness of the principalship is that it wobbles all over the education landscape. . . . It is more than a semantic difference when academicians argue that the fundamental responsibility of the principal is "instructional leadership" or "educational leadership" or that he is a "facilitator," "coordinator," or some combination of these. This difference manifests itself in preparation programs, which, in turn, not only shape the perceptions of those who will assume the role but, more importantly, equip them with the knowledge and skill to function. (Wagstaff, Lonnie H. *NASSP Bulletin*, 1973, 376, 40–47)

Clarity in the expected role and function of the principal and debate and agreement on the components of the role are necessary. This role and function of the school principalship position statement endorsed by the Commission has been developed from a review of the research and literature on the principalship and the active deliberations of Commission members after receiving suggestions from state and national education groups and individual educators.

Two major national school principal organizations (the National Association of Secondary School Principals [NASSP] and the National Association of Elementary School Principals [NAESP]) have addressed the issues of the qualities and characteristics individuals need to be effective school principals. The NASSP Assessment Center Project, an activity used by numbers of school systems as a part of their principal selection process, has identified twelve generic skill areas that relate to successful performance as a school principal. The skills areas are:

Administrative
- problem analysis
- judgment
- organizational ability
- decisiveness

Interpersonal
- leadership
- sensitivity
- oral communication
- written communication

Intrapersonal
- stress tolerance
- range of interests
- personal motivation
- educational values

These twelve generic skill areas are assessed in a two-day exercise that involves prospective principals in simulations and leaderless group activities. The prospective principals are carefully observed at the assessment center by a trained group of assessors. Research conducted for NASSP at Michigan State University confirms the criterion-related and content validity of the process as measured by subsequent on-the-job performance.

The NAESP has published documents dealing with standards for quality elementary schools and proficiencies for the school principal. In these documents, NAESP establishes the following benchmarks for the school principal:

- has values, beliefs, and personal characteristics that inspire others to accomplish the school's mission;
- demonstrates skills that enable the school to reach its goals (instructional, managerial, problem solving);
- serves as a catalyst for school improvement;
- has experience and education that provide a solid background in the fundamental aspects of curriculum, skills in the teaching and learning processes, practical applications of child growth and development, and a sincere commitment to children's welfare and progress;
- demonstrates a wide range of leadership and communication skills;
- possesses supervisory skills in curriculum, instruction, and evaluation;
- has a wide range of administrative skills (fiscal, organizational).

From a review of the literature, Blumberg and Greenfield have developed the following description of principals who lead:

- Principals who lead seem to be highly goal oriented and to have a sense of goal clarity. In brief, they possess a sense of vision which sustains and motivates action, a vision which is shared by staff. In addition, they are capable of making goals operational both through long-term strategies and day-to-day actions.
- Principals who lead appear to be characterized by a relatively high degree of ontological security. In brief, they know who they are as people and have a strong sense of what they are about. They are therefore secure in the presence of new ideas, new challenges, and new opportunities. They see in others not threats, but the source of promise for improvement. They sense no need to "protect" the feelings of others. They can separate the idea from its source so that, if the idea fails, it is seen as a bad idea and not the failure of some individual.
- Principals who lead appear to have a tendency to test the limits of the interpersonal and organizational systems they encounter. In brief, they are risk takers, but they are not suicidal. They are particularly prone to test "regularities" that have persisted over time, but which have no integrity in terms of current goals and goal structures.
- Principals who lead appear to be sensitive to the dynamics of power in both the larger system and their own school. They understand the necessity of seeking out the sources of power in the informal network of relationships in the school system. They are effective in establishing alliances outside their schools.
- Principals who lead seem to approach problems from a highly analytical per-

spective. They are able to back away from a problem and study it and not become immediately concerned by the problem situation itself.

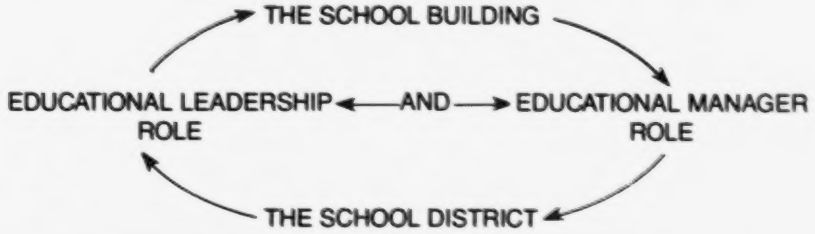
- Principals who lead appear to be in charge of the job and not the other way around. They play the necessary survival games, but they conserve their major energies for more exciting events.
- Principals who lead seem to possess a certain pattern or system of interpersonal needs. They seem to have a high need to control the situation and not to be controlled by it; they seem to have a high need to include others in projects and to have others include them; and finally they seem to have a high need to express warmth and affection toward others. (Blumberg and Greenfield, pp. 246–249)

The Role of the Principal

The role and function of the principalship, as endorsed by the Commission, are that the principal must provide both the educational leadership and the managerial direction for the school (See Figure 2.1). Educational leadership is defined as the initiation, implementation, and institutionalization of school-wide change that results in the improvement in student educational achievement and opportunity. The principal has the primary obligation to "make a difference" in the school by providing leadership to faculty, parents, and students as change and improvement are considered. Educational management, on the other hand, is defined as maintenance of the stability and security of an organization as it is directed and controlled on its given course. These dimensions of leadership (change) and management (stability) result in the principalship being dynamic and requiring a continuous interplay between change and stability. A reduction in management activity coupled with an increase in leadership activity is absolutely necessary to achieve school improvement.

FIGURE 2.1

THE TWO MAJOR DIMENSIONS OF THE ROLE OF THE PRINCIPAL



It is expected that the school principal will exercise the considerable responsibility called for in this report by establishing a collegial climate for working with the school's professional team—especially the teachers. In a collegial climate the staff works together to build the philosophy, objectives, policies, and programs of the school. The staff is empowered to make local school building decisions together, and the principal leads, coordinates, supports instruction, and assists staff in reaching

consensus on important issues. The principal's authority, responsibility, and accountability are exercised in such a way that the judgment and commitment of all staff members are nurtured and valued in decision making.

In addition, it is crucial that the school principal exercise leadership in improving the professional environment in which teachers work. Areas needing improvement are the reduction of bureaucracy, more professional autonomy for teachers, and more leadership opportunities for teachers. Principals and teachers must strengthen their professional partnership at the school by working together to establish a truly collaborative and collegial school in which each professional staff member finds challenge, support, appreciation, and satisfaction. We know from research that the "climate" of the individual school is a major determinant of educational quality for students. Schools in which the professional autonomy and teaching responsibility of the faculty are in harmony with the educational leadership responsibility of the principal can offer a truly quality educational program for each student while at the same time have a teaching staff that is both professionally satisfactory and professionally satisfied.

Educational Leadership

One of the major characteristics of higher quality, effective schools is the determination shared by principals, assistant principals, teachers, students, and parents to constantly seek improvement. In such schools academic achievement becomes the cornerstone in the pursuit of excellence, with the principal as the catalyst. Clearly then, educational leadership is essentially influencing others to commit their energies and efforts to the accomplishment of organizational goals and improvement objectives on a school-wide basis.

The principal must work with students, professional staff, other school employees, parents, and the school community to establish a vision of the school's mission. In the effort to turn vision into reality, the principal must marshal and mobilize the needed resources; the principal must stimulate and support those personnel involved in the effort. This role of the principal is both central and crucial.

To provide educational leadership, a principal must have the ability to:

- resolve conflicts with high levels of sensitivity
- communicate clearly and effectively
- plan and set goals
- analyze problems
- involve others in a cooperative fashion
- make and implement decisions
- coordinate the work activities of others

To provide educational leadership, a principal must know:

- theories of and research in administration, curriculum, instruction, and evaluation
- personnel supervision strategies and techniques
- adult learning concepts
- in-depth subject area content (at least in own field)
- theories and techniques of assessment and motivation
- change theory and practice
- organizational change and effective schools literature

The abilities and knowledges listed above comprise a basic level of qualification without which an individual would experience great difficulty in providing educational leadership.

Educational Management

Any organization needs sound management if it is to maintain its given course in a manner that assures its stability and security as well as the stability and security of its members. A multitude of management tasks confronts the principal daily. The current high expectations for the principal in carrying out these management responsibilities have resulted in the major portion of the principal's time and effort being devoted to management, not leadership. However, with careful planning and coordination, management activities can become a part of the overall leadership activity of the principal.

To provide educational management, a principal must have the ability to:

- budget, allocate, and control resource expenditures
- develop and maintain schedules for personnel and facilities
- organize the staff
- develop and maintain necessary school reports and record systems
- establish a safe and supportive environment
- monitor and evaluate programs and personnel
- plan, direct, and control activities and coordinate action across programs and activities
- set priorities
- make decisions

To provide educational management, a principal must know:

- laws, policies, and regulations
- management theory and techniques
- fiscal and facility management and control techniques
- instructional and curricular requirements
- implementation strategies and techniques
- governance structures and processes
- technology and its appropriate uses
- principles of human growth and development
- how to deal effectively with the various school publics

Basic to both leadership and management are the principal's personal values, beliefs, and individual qualities that influence the school building traditions and norms and help define the nature of the school as an organizational unit. In addition, a principal needs a strong self-awareness and a knowledge of organization theory.

In the implementation of the principal's role, the distinctions between the roles and functions of elementary, middle/junior high, and senior high school principals should be appropriately reflected. These differences, especially those having to do with the diversity of curriculum, the specialization of staff, the nature of the student body, the scope of the program, and diversity of publics, must appear in design and implementation of the job.

The Commission on School-Based Administration clearly sees the school prin-

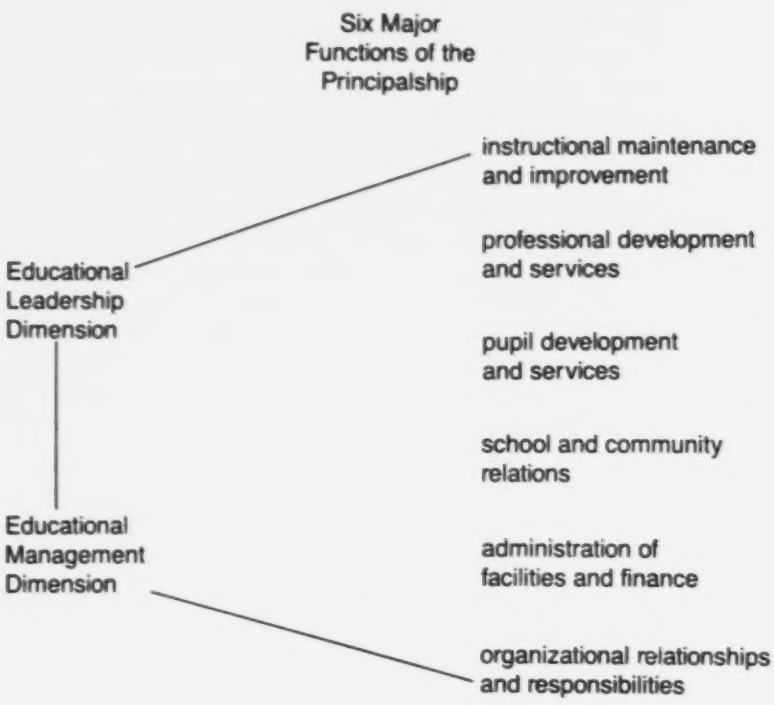
cipalship as the most important single factor at work to determine the educational quality of a school. By providing leadership along with strong managerial support, a school principal exercises powerful influences on the mission, effectiveness, and educational improvement efforts in the school.

The Six Major Functions of the Principalship

The role and function of the principal should be to provide both the educational leadership and the managerial direction for the school. Specifically, the principal should exercise educational leadership and managerial ability in the following areas: instructional maintenance and improvement, professional development and services, pupil development and services, school and community relations, administration of facilities and finance, and organizational relationships and responsibilities.

FIGURE 2.2

THE ELEMENTS OF THE PRINCIPALSHIP


Six Major Functions of the Principalship
Educational Leadership Dimension
Educational Management Dimension
instructional maintenance and improvement
professional development and services
pupil development and services
school and community relations
administration of facilities and finance
organizational relationships and responsibilities

*1. **Instructional maintenance and improvement.*** The principal must exercise a high level of managerial skills in maintaining the instructional program and in making judgments about areas in need of improvements. Once a decision is made that improvement is necessary or desirable, the principal must use leadership skills to generate staff commitment. However, the principal can neither manage nor lead if

he or she lacks knowledge and skill in the area of instruction. The principal must be able to base instructional leadership on professional knowledge, including:

- The ability to promote positive instructional outcomes. The principal does this by emphasizing achievement and by giving priority to those instructional activities that foster academic success and student growth. He or she is skilled in managing the school's instructional resources—materials, equipment, facilities, and time—so maximum efficiency exists for each. In addition the principal promotes an orderly climate that is conducive to teaching and learning. The principal supports teachers by effectively communicating the significance of their work. This verbal support is reinforced with resource support whenever possible.
- The ability to assess program relevance. The principal is sensitive to those instructional conditions that promote relevancy; conditions that are affected by proper methodological approaches by the teacher, by concern for learner needs and interests, by sensitivity to societal changes, and by relevant developments and changes in the subject or discipline. This also requires that learner expectations and outcomes be established on a school-wide basis and that a system exists for determining whether or not these expectations are being met.
- The ability to coordinate instructional programs and to take part in making instructional decisions by assisting teachers in deciding on the appropriateness of methods, materials, goals and objectives, and evaluation procedures.
- The ability to plan, implement, and evaluate program change. The principal must have specific skill in program planning and must be able to share appropriate program planning models and materials with staff. He or she must be skilled in the implementation of school-wide or subject area program changes and in providing the required training for staff who are engaged in the change. The principal must be able to lead and assist in the design of an evaluation plan that will facilitate close monitoring of the change process as well as of the expected program outcomes.

2. ***Professional development and services.*** The ability of the principal to constantly sustain high levels of staff performance by providing time and other resources for continuous training and development and to evaluate teaching staff are critical to a sound program of instruction. The principal's role in teacher evaluation and professional development represents a major opportunity and responsibility for the improvement of classroom instruction. The personnel development and services area includes:

- The ability to identify and select new staff who are competent in their grade or discipline area, who also identify with the overall mission and goals of the school, and who are psychologically and philosophically compatible with staff with whom they will be associated.
- The ability to fully orient new staff to the school through activities designed to familiarize them with mission and philosophy, goals and objectives, organizational patterns and structures, system-wide policies and procedures, parental and community concerns, and student characteristics and developmental needs. There is also a need to inform new staff of growth opportunities that

exist within the school and system and of resources that can assist them in moving into these new areas of opportunity.

- The ability to assign staff members in a manner appropriate to their talents and abilities and to the school's program requirements. The principal needs to be sensitive to the load requirements for all staff and to the need to relieve them from duties that might impair their instructional abilities. The principal needs an ability to closely monitor staff in terms of performance and to be sensitive to signals of misassignments and overload.
- The ability to design and implement school-wide programs for staff improvement, consistent with school system goals, both in training for new roles and duties and in development for potential reassignment and promotion. The principal needs to be able to evaluate staff training and development efforts in terms of outcome as well as process variables. The principal needs to be able to design and implement training and development evaluation models which determine whether trainees are competent in the required task areas and whether or not development efforts are providing a consistent supply of quality personnel.
- The ability to design and carry out effective programs of staff evaluation is central to most of the other professional development and services functions. An effective program of staff evaluation is as necessary to provide data on new staffing needs, potential orientation activities, and improvement needs as it is for making decisions about staff retention, dismissal, or reassignment.

3. ***Pupil development and services.*** This critical area of the principal's role requires a high level of ability and knowledge. Important components of pupil development and services are:

- The ability to influence student value choices in matters of personal conduct and living as well as in areas of academic achievement and career choice.
- The ability to organize and design procedures and opportunities for student involvement in the life of the school, not only through the more traditional activities of sports, student government, and clubs, but also through the appropriate involvement of students in the fundamental decision areas of programs, student evaluation, and scheduling.
- The ability to conceptualize and implement a comprehensive program of guidance services geared to the needs and interests of all the students.
- The ability to design and implement effective programs in the area of student health and to provide an environment which is conducive to positive discipline and assures student safety and security.

4. ***School and community relations.*** The community is an important partner and provides a valuable learning laboratory for students. Moreover, this area takes on even more importance in a time when communities are undergoing significant social and demographic changes. In a school community where there is a decreasing percentage of families with school-age children, the principal is required to display assertive leadership qualities if he or she is to maintain a broad base of community support and interest in school affairs. Critical facets of school/community relations are:

- The ability to analyze the community in terms of its demographic and social characteristics plus an ability to understand future as well as current needs of the citizens who make up the school's attendance and non-attendance populations.
- The ability to establish and maintain effective communications with the community and to be sensitive to the points where the school and community are most likely to conflict, and an ability to disseminate information which will promote understanding and acceptance of the differences that might evolve. The principal needs to be sensitive to what the community wants to know about the school.
- The ability to identify, mobilize, and effectively utilize community resources in the interest of improving both school programs and school and community relations.
- The ability to organize the school so that it can serve as a resource to the community and to create the feeling in the community that the school is a contributing member of the larger community.

5. ***Administration of facilities and finances.*** A high level of managerial and leadership ability in facilities and finances is essential to a safe and stable school environment and to the achievement of all of the school's program and activity goals. Strong facilities management skills, especially those relating to environment and climate, result in highly visible evidence that can set the tone for the total life of the school. The principal's management of financial resources can mean the difference between successful programs and highly responsive staff on the one hand or failure and staff withdrawal on the other. As school systems provide principals with increasing flexibility and autonomy regarding fiscal resources, this area becomes even more important. Dimensions in this area include:

- The ability to allocate the available financial resources for the purposes which they were initially budgeted and to be able to justify, in terms of program benefits, any shifts from original budget plans. The principal needs to provide the type of leadership so the PTA and other community groups can concentrate on educational concerns without being cast as the school's primary fundraiser.
- The ability to effectively use the resources of the school plant to maintain a safe and healthful climate for teaching and learning. The principal needs to possess skill in facilities scheduling and management which will minimize disruptions, avoid unnecessary movement, and separate noisy and quiet activities so that neither is constrained in its function.

6. ***Organizational relationships and responsibilities.*** The principal is expected to maintain a quality school along with good rapport with the community. In addition, recent attention has focused on the need for the principal to relate more closely to the school system central structure and to share certain system-wide planning and decision-making functions. Increasingly, the building principal is emerging as the bridge to and from the central office. These changes clearly increase the principal's sphere of influence in the school system and accords a more powerful position for affecting system-wide policy and procedure changes that affect the school the prin-

cipal serves. These changes should also create better understanding between the principal and central administration and reduce some of the principal's feelings of isolation from policy decisions and of being caught between the demands of the staff and the dictates of the school system. Effective principals have:

- a sensitivity to the multiple demands on central administration and an ability to effect and accept compromises where necessary;
- an ability to articulate effectively the needs and concerns of students, staff, and community in exchanges with central administration;
- an ability to provide school-based information and recommendations in support of the superintendent's plans for system-wide improvement;
- an ability to share information with staff, students, and community about central administration's plans and actions which promote support for those activities; and
- an ability to interpret central office directives so that they achieve their purposes.

Recommendation of the Commission

The recommendation of the Commission is that strong consideration be given to the role and function statement espoused in this report as local school systems define the role and responsibility of the principal and as colleges and universities design principal precertification preparation programs.

#2.1. The role and function of the principal should be to provide both the educational leadership and the managerial direction for the school. Specifically, the principal should exercise educational leadership and managerial ability in the following six functional areas: instructional maintenance and improvement, professional development and services, pupil development and services, school and community relations, administration of facilities and finance, and organizational relationships and responsibilities.

SECTION THREE
Preparation Programs for Principals

Introduction

Two basic premises have guided the Commission in all of its deliberations on the preparation of principals. The first holds that the principalship is one of the most important and demanding positions in education and that the knowledge and skills needed to be an effective principal require continuous reinforcement and enrichment throughout the career of the principal. This process begins with the successful completion of a program of study certifying that one has proficiency in the conceptual and analytical/technical knowledge necessary to perform the functions of the position. But the completion of a formal program of study should be viewed as just the beginning of the training. In recognition of the constantly changing demands on the needs of schools, the preparation of principals must be a career-long enterprise if they are to continuously provide the educational leadership and educational management needed for effective schools.

The second major premise is that the continued collaboration and a major commitment of the resources by the state's colleges and universities, its twenty-four local school systems, and the Maryland State Department of Education will be required to assure that the necessary high quality career-long training of principals becomes a reality and is sustained over time.

Although both of these major premises have been widely acknowledged, there is an urgency for effecting the latter.

Each of the three parties having a vital stake in the development of a cadre of high quality principals has important strengths to contribute to this task. It is the orchestration of the strengths each can bring to bear on the common goal of providing career-long training that will assure the successful establishment and maintenance of needed collaboration. The Commission views the primary division of effort among colleges and universities, local school systems, and the state education agency to be as follows:

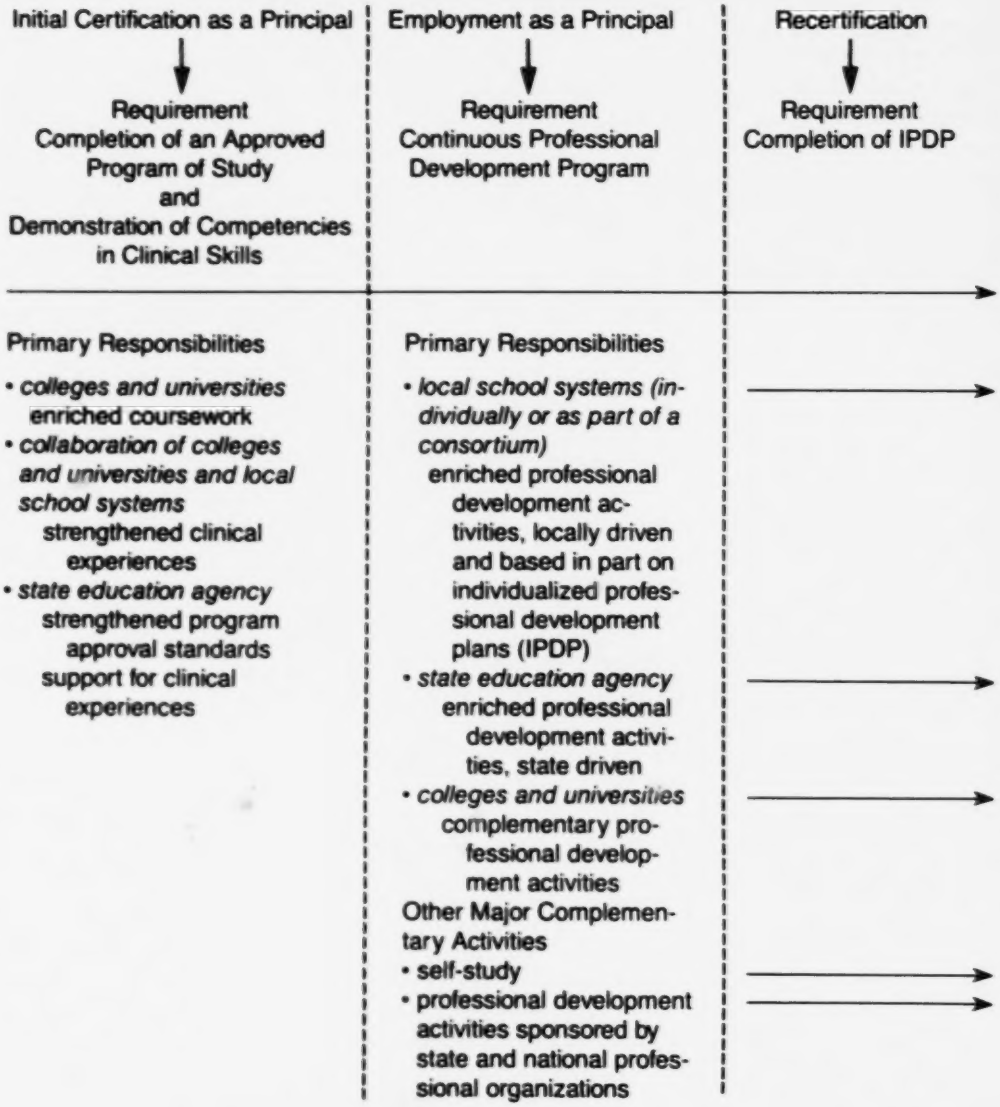
- The primary mission of colleges and universities offering principal preparation programs should be to provide a strong theoretical base; to expose the candidate to the realities of the principalship; to provide both the conceptual knowledge and the analytical/technical knowledge needed to develop proficiency in educational leadership and management; and to contribute to professional development activities for practicing principals sponsored by local systems and the state.
- The primary contributions of local school systems should be to collaborate with colleges and universities in providing clinical experiences critical for those preparing for the principalship and to provide meaningful continuous professional development programs for currently employed principals.
- The primary contributions of the Maryland State Department of Education should be to establish rigorous program approval standards used in assessing the quality of college and university preparation programs, to contribute to

the financial support for clinical experiences that should be an integral part of pre-certification training, and to offer a professional development program that focuses on statewide priorities.

A schematic diagram illustrating the primary roles of each of the three parties is presented in Figure 3.1.

FIGURE 3.1

A SCHEMATIC OF THE PRIMARY ROLES OF COLLEGES AND UNIVERSITIES, LOCAL SCHOOL SYSTEMS, AND THE MARYLAND STATE DEPARTMENT OF EDUCATION IN THE CAREER-LONG PREPARATION OF PRINCIPALS


Initial Certification as a Principal
Requirement
Completion of an Approved Program of Study
and
Demonstration of Competencies in Clinical Skills
Employment as a Principal
Requirement
Continuous Professional Development Program
Recertification
Requirement
Completion of IPDP
Primary Responsibilities
• colleges and universities
enriched coursework
• collaboration of colleges and universities and local school systems
strengthened clinical experiences
• state education agency
strengthened program approval standards
support for clinical experiences
Primary Responsibilities
• local school systems (individually or as part of a consortium)
enriched professional development activities, locally driven and based in part on individualized professional development plans (IPDP)
• state education agency
enriched professional development activities, state driven
• colleges and universities
complementary professional development activities
Other Major Complementary Activities
• self-study
• professional development activities sponsored by state and national professional organizations

The following recommendations focus on strengthening the formal preparation programs leading toward certification that are offered by the state's colleges and universities. Recommendations concerning the continuous professional development of principals throughout their careers are included in a later section of the report.

Colleges and universities have historically played the dominant role in preparation programs leading toward certification as a principal. In recent years concerns about the quality and effectiveness of these programs have been increasingly voiced by practicing administrators, college and university faculty, and in the policy communities. While the value of much of professional education is being questioned in many other fields such as law, public administration, business administration, and medicine, the issues surrounding the preparation of school administrators seem to be particularly intense.

In Maryland, organizational responsibility for principal certification programs offered by colleges and universities is shared between individual institutions having state-approved programs and the Maryland State Department of Education, the state agency charged with establishing standards to approve institutions having certification programs. At the present time, six institutions offer state-approved programs: Frostburg State College, Frostburg; Johns Hopkins University, Loyola College, and Morgan State University, all located in Baltimore; the University of Maryland, College Park; and Western Maryland College, Westminster. As will be established in the next section of the report, the successful completion of one of the state's six currently approved programs is not the only avenue to certification as a principal. Current certification requirements also have a credit count option that permits a candidate to satisfy some requirements through the accumulation of courses.

Major Issues

The charges and countercharges surrounding the present debate on college and university-sponsored preparation programs for principal certification address virtually all aspects or major components of these programs. However, in the view of the Commission, the fundamental issues being raised center on six themes:

- the content of an effective preparation program, especially its general academic core, specialized academic core, research requirements, and clinical experiences;
- the criteria to be used for both program admission and exit decisions;
- the appropriate program differentiation, if any, among the elementary, middle/junior, and high school principalship;
- meaningful ways to effect collaboration between colleges and universities and the local school districts, especially regarding the content of the program, the selection of candidates for the program, and the coordination of research and clinical experiences; and
- the accessibility of college and university program sites to local school districts.

Brief Description of Current Practice

The following brief descriptions of preparation programs leading to principal certification offered by colleges and universities across the nation and in the state, organized around the six previously cited issues, are offered:

- The content of the vast majority of programs in the nation and state are relatively uniform and appears to be driven by equally consistent certification requirements: all tend to offer introductory courses focusing on organization theory, leadership, curriculum theory and/or development, supervision, and some type of an internship experience; some program differentiation appears to be present in the depth and breadth of requirements related to curriculum and instruction, general or specialized curriculum and supervision, research requirements, and the nature of the research project.
- Even greater similarity is noted in the criteria used for admission. Virtually all require: a bachelor's degree from a regionally accredited institution; a teaching certificate; a minimum undergraduate grade point average; and a minimum score on a standardized examination, usually the Graduate Record Examination or the Miller Analogies Test.
- Although less pronounced, a majority of colleges and universities make little differentiation among programs for elementary, middle/junior, and high school administration and supervision; a minority of institutions in the nation, but none of the six in Maryland, have recently instituted an area of concentration in middle/junior high school administration and supervision.
- Except for isolated exceptions, collaboration between colleges and universities and local school districts in program planning is not extensive; where it does exist, it tends to be limited to cooperation in provision of some form of internship.
- Variations in staffing patterns are evident across the country and in Maryland, especially in regard to the ratio of full-time versus part-time/adjunct professors who teach courses in the program of study; moreover, increasing faculty age is a problem confronting many colleges and universities.
- The number of colleges and universities offering programs of study appears to be more than adequate; however, the issue of accessibility to a program appears to confront many regions of most states, including Maryland.

Recommendations for Strengthening Preparation Programs Offered by Colleges and Universities

The recommendations for strengthening preparation programs offered by colleges and universities have been grouped into the following categories:

- student recruitment and admission
- program accessibility
- program content
- methods of instruction and mode of delivery
- relations with constituent groups
- program funding
- program evaluation

Student Recruitment and Admission

Concerning student recruitment and admission to a preparation program leading toward certification it is recommended that:

#3.1. Colleges, universities, and local school systems should engage in more systematic and sustained recruitment activities to encourage promising candidates to pursue careers in school administration. In these accelerated efforts, special attention should be given to the development of recruitment strategies aimed at minority group members and women. In addition, consideration should also be given to individuals presently outside the field of education who can successfully meet the requirements for certification as a school principal.

Rationale. Imaginative ways, especially for working more closely with local school systems in the pre-screening phase of local district selection practices called for elsewhere in this report, must be developed to recruit individuals to the profession. The traditional practice of colleges and universities of literally waiting at the door for candidates will not suffice, if this posture ever had merit. This is especially true if the desperate need to recruit members of minority groups is to be addressed. Talented individuals outside education, in fields such as government, the military, and business represent a rich source of talent and should be recruited so long as they can successfully meet the requirements for certification.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation. However, it will call for increased collaborative efforts between colleges and universities and local school systems in the identification and recruitment of potential candidates.

#3.2. Admission standards should assure that only candidates possessing the highest intellectual abilities and aptitude for the principalship are admitted. Colleges and universities should require all candidates to participate in pre-admission diagnostic skill exercises and should make use of the results in admission decisions and program planning.

Rationale. This recommendation is at the heart of the relatively large number of Commission recommendations that center on strengthening recruitment and admission practices that together reflect the importance placed on improving the quality of individuals who may one day be responsible for providing direction to a school. The principalship is one of the most important and demanding positions in education. It follows that only the most able be permitted to pursue a career as a principal. In that completion of an approved program is the only way we recommend that an individual meet initial certification requirements, colleges and universities have an important gatekeeping role and must assure that only highly able candidates with aptitude for the principalship are admitted to the program.

The use of pre-admission diagnostic skill exercises for both admission decisions and program planning will help achieve two major objectives. As part of the admission decision, the exercises could aid in not only determining a candidate's existing skill level but, in addition, could assist in ascertaining an individual's aptitude for the principalship. This latter consideration should be of great benefit to both the

institution and the candidate. Use of the exercises in program planning will also contribute substantially to the early discovery of the candidate's strengths and weaknesses and thus enable the development of a more efficient and effective program of study. The comprehensive and enriched program of study leading toward initial certification called for in this report will still be limited in its ability to provide many skills that will enhance the effectiveness of a potential candidate. No single program, no matter how well designed, could be expected to do this. The provision of non-credit assistance in skill areas not a part of the regular program of study is one important way to accomplish this.

Major Implication(s). Major changes of many college and university admission practices will be required. Colleges and universities will need to develop diagnostic skill exercises to use in the admission process. This will have a fiscal implication and calls for a revision in current admission criteria.

#3.3. In addition to those factors normally considered by colleges and universities as admission requirements for those who wish to enter principal preparation programs, an individual must hold (or be eligible to hold) an advanced professional certificate (APC), or its equivalent for out-of-state candidates, directly related to his/her area of teaching.

Rationale. To carry out the role and function of the school principal in the area of instructional leadership, an individual must be a highly and extremely effective classroom teacher. In addition to successful experience as a teacher, a prospective principal needs to have the depth of knowledge and skill as a teacher that the advanced certificate in teaching would provide. Further, as more teacher preparation programs move to a five-year pre- service sequence, the principal needs this additional background in teaching prior to beginning coursework in administration. Once the APC in teaching has been received, the principal preparation program can then focus on: content in leadership, administration, curriculum, supervision, and learning; and development of the clinical skills needed to implement the role and function of the principal envisioned in this Commission report.

Major Implication(s). A change in the certification requirements for principals and teachers would be necessary as would modification of existing preparation program admission requirements.

#3.4. Colleges and universities, aided by local school systems and the state education agency, should aggressively seek ways to promote and fund full-time study, rather than be dependent on the use of part-time study arrangements that virtually all graduate students presently utilize.

Rationale. In our view, there is no substitute for full-time, concentrated study for the principalship. Full-time study facilitates program enrichment in ways not possible by taking one or two courses per semester and attending summer school, all while being employed full-time. Even a modest increase in the availability of financial support to permit a greater number of students to pursue full-time study would pay handsome long-term dividends for the profession and for education.

Major Implication(s). No major regulatory implications are perceived to implement this recommendation. However, an increase in the number of fellowships and

assistantships offered by colleges and universities would result in additional costs to most institutions in that most presently offer only meager levels of support, or no support at all. Additionally, both local systems and the Maryland State Department of Education would have to increase their allocations of resources.

Program Accessibility

Concerning student accessibility to an approved program, it is recommended that:

#3.5. The Maryland State Board for Higher Education should accelerate its present planning to make approved programs available and accessible to students residing in the Eastern Shore counties.

Rationale. There is presently an uneven geographic distribution of approved programs in the state. Closing down the credit count method for securing a certificate argued for in the next section of this report will create an even greater disparity in the state, particularly for the school systems on Maryland's Eastern Shore. These systems will experience great difficulty in urging potential candidates to study in an approved program if the candidates are required to travel great distances or disrupt their lives by moving closer to an institution offering an approved program.

Major Implication(s). The Maryland State Board for Higher Education would need to take appropriate steps to assure the availability of an approved program to serve the Eastern Shore. Moreover, a substantial expenditure of new monies would be required to establish the comprehensive program called for in this report.

Program Content

Concerning the general academic core, the specialized academic core, the research, and the clinical experience dimensions of a program of study leading toward certification as a principal, it is recommended that:

#3.6. The preparation program for principals should include not less than thirty-six (36) graduate semester hours of which six (6) hours would be devoted to clinical experiences including a total of three credits of practica and a three-credit internship.

Rationale. It is the judgment of the Commission that most of the entry-level conceptual and clinical skills needed by an individual can be provided in a program of study having a minimum of thirty-six (36) graduate semester hours. The previously recommended requirement that a candidate for admission to a preparation program hold, or be eligible to hold, an APC should allow colleges and universities to better concentrate their program of study. The temptation to expand the recommended minimum semester hours for an approved program is great but must be resisted. The combination of the new recommended requirement of having an APC, or its equivalent, as a condition for admission to a preparation program and the thirty-six (36) hour degree program called for here will result in candidates for certification completing what amounts to a two-year graduate program.

Major Implication(s). A major change in existing MSDE program approval standards would be necessary to implement this recommendation. Moreover, while the

current programs of many of the state's colleges and universities exceed the minimum of thirty-six (36) semester hours, the requirement of six (6) hours for clinical experiences represents an increase in current program approval requirements. Program modifications of this type would be required.

#3.7. College and university programs should give prominence to the *conceptual knowledge* and *clinical skills* necessary for effective educational leadership and management. The *conceptual knowledge* that should be stressed in the program are (a) theories of instruction, human growth and development, adult learning, curriculum, supervision, change, leadership, organization effectiveness, methods of inquiry, and evaluation and assessment, and (b) an understanding of governance structure and political processes, equity issues, community and public relations, technology, business management, personnel and labor relations, school climate and culture, pupil services, and research related to educational practice. The ten *clinical skills* that should be stressed are: instructional supervision, planning and goal setting, problem analysis, decision making, communication, coordination, interpersonal relations, development of staff, conflict resolution, and stress management.

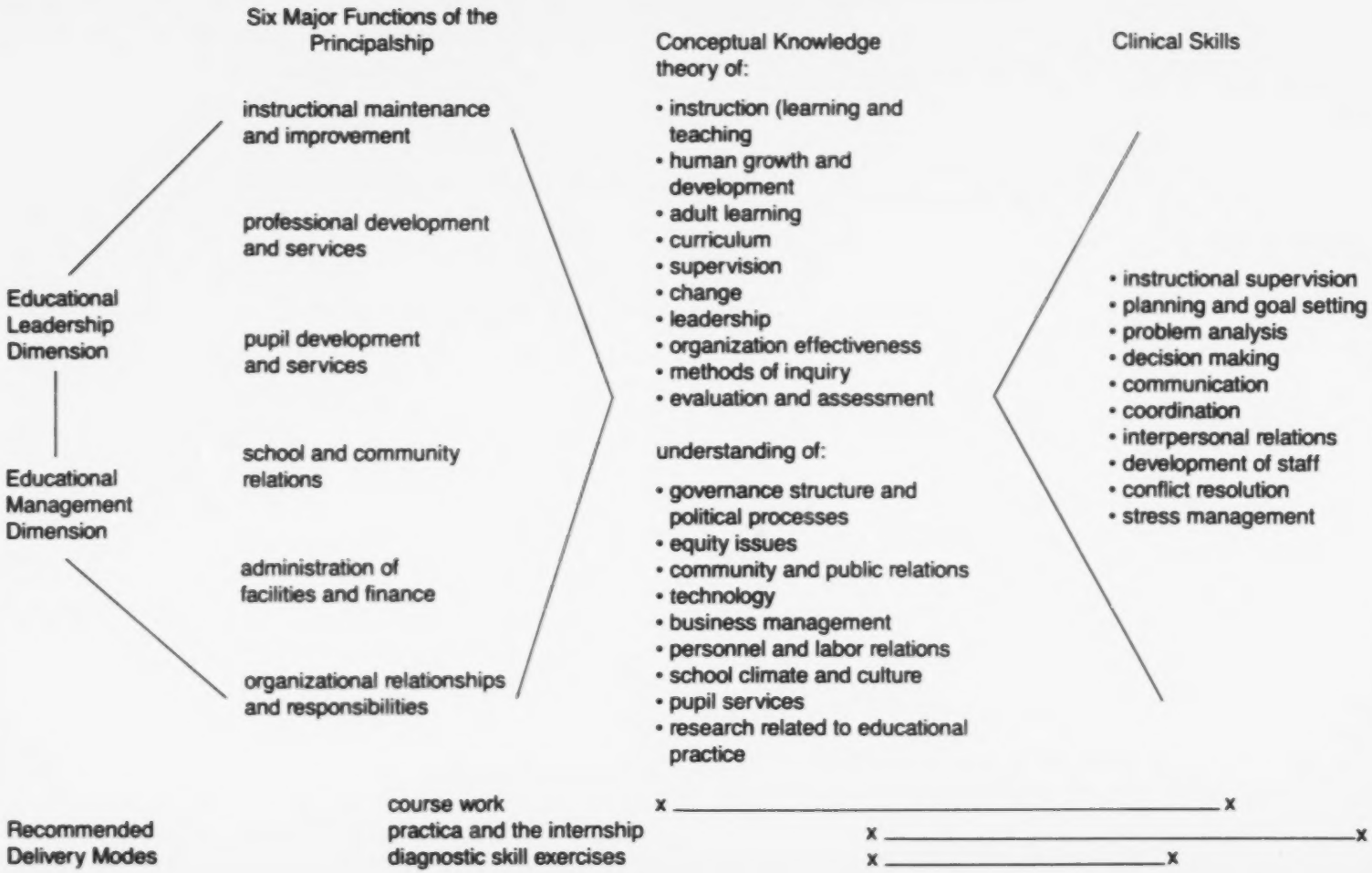
Rationale. The justification for prominence given to the conceptual knowledge and clinical skills cited in the recommendation is to be found in the comprehensive role and function statement adopted by the Commission that was presented in the preceding section of this report. All are central to the instructional leadership and managerial mission that must be provided by an effective principal in the six functional areas of instructional maintenance and improvement, professional development and services, pupil development and services, school and community relations, administration of facilities and finances, and organizational relationships and responsibilities. The recommended program emphasis is summarized in Figure 3.2.

Major Implication(s). No major regulatory implications are perceived to implement this recommendation. However, the recommended program content will require a major overhaul of most existing programs of study. This will prove to be a costly activity for most colleges and universities.

#3.8. In addition to the general academic core, the program of studies should include a specialized academic dimension that reflects the demonstrable differences in the context in which elementary, middle/junior, and high school principals must function, especially those associated with differences in the diversity of the curriculum, the specialization of staff, the nature of the student body, the scope of the program, and the diversity of the publics that must be dealt with. However, we are not calling for the creation of a large number of parallel courses. What is being recommended are differences in the nature of some required courses, especially in the areas of curriculum and supervision and child growth and development, the judicious selection of instructional materials, distinctions in course activities, and the use of an intensive seminar as one of the culminating program requirements in which students would be grouped according to level of employment sought.

FIGURE 3.2

THE RECOMMENDED PROGRAM EMPHASIS OF PREPARATION PROGRAMS OFFERED BY COLLEGES AND UNIVERSITIES



Rationale. As previously established, the Commission has taken the position that the role and function of elementary, middle/junior, or high school principals are similar in many respects. However, it is also acknowledged that there are some important differences. This recommendation reflects the Commission's judgment about the nature of these differences and proposes meaningful ways that they can be incorporated into a preparation program.

Major Implication(s). Major modifications in current programs and in the existing program approval standards will be required to implement this recommendation.

#3.9. The program of studies should include the acquisition of cognitive knowledge of the major methodologies appropriate for the study of education, should include quantitative and qualitative research methodology to develop the ability to read and assess the research literature, and should provide a student with skills to design and complete a research project as part of the requirements of the program.

Rationale. It is important that those who serve in leadership positions be able to critique the research literature so they can develop informed judgments about promising practices in education. Knowledge of the major methodologies appropriate for the study of education is intended to contribute to this objective. The recommendation that a student design and complete a research project as part of the program of study is one important way to demonstrate the ability to apply an appropriate method of inquiry for solving a particular problem.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation. However, the modification of many current programs will be required.

#3.10. Numerous, well-designed, and diverse clinical experiences should be an integral part of a program of study and should extend throughout the duration of the program. These experiences should take three forms: numerous non-credit, short-duration on-site observations of major school events and activities; several extended on-site credit practica, each having a limited objective; and a ten-week, full-time, non-paid, on-site credit internship with a carefully selected principal, jointly planned and supervised by the college or university and local school system.

Rationale. The call for the frequent use of high quality clinical experiences throughout the program of study, capped by a ten-week intensive internship, is based on the Commission's belief that the acquisition of many skills can be acquired only through observation and practice in an actual school setting. As established previously, the ten clinical skill areas given prominence are those judged to be generic to the work of the principal in providing the educational leadership and educational management for a school.

Moreover, the Commission's call to establish numerous clinical experiences and develop valid methods of measuring a student's proficiency in the ten areas is the single most important check available to the state on the quality of the program. Failure to do so will render the program approval process useless.

Major Implication(s). This recommendation has a number of major implications. In the first instance, the current Maryland State Department of Education program approval standards must be revised to include a requirement that colleges and universities provide the three major forms of clinical experiences called for in the recommendation. Further, the development of and use of multiple clinical experiences require fundamental changes in current preparation programs. These changes will prove to be a costly expenditure to colleges and universities that presently generally devote only meager resources to this portion of their current program. Moreover, the recommendation will require provisions for an expanded role of local school district personnel in the planning and supervision of the varied clinical experiences called for.

#3.11. In addition to completion of a program of study, candidates must demonstrate competencies in ten clinical skill areas.

Rationale. This recommendation is intended to provide an important internal check for use by colleges and universities to establish whether or not the goals of the precertification program for principals are being realized. The assessment of competencies in the ten clinical skill areas will also aid graduates who will ultimately be tested in the same skill areas as a condition for initial certification.

Major Implication(s). One major regulatory implication is required to implement this recommendation. The regulatory change required is that the current Maryland State Department of Education program approval standards must be revised to include a requirement that colleges and universities provide an exit assessment.

Methods of Instruction and Mode of Delivery

Concerning the methods of instruction and related delivery modes, it is recommended that:

#3.12. Colleges and universities should move away from the almost exclusive use of the didactic approach in a classroom setting to achieve the two program goals of the acquisition of conceptual knowledge and the development of clinical skills. In addition, the state's colleges and universities should establish a mechanism for the development and sharing of instructional materials, and the joint use of promising technology for enriching the instructional features of their programs.

Rationale. It is widely acknowledged that the lecture is one of the ineffective instructional methods available, even for the acquisition of conceptual knowledge. Heavy reliance on this method will greatly impair the quality of a preparation program. Its value in the acquisition of clinical skills is even more questionable. Clinical skills clearly cannot be acquired and mastered without practice that is best demonstrated in an actual school setting. As shown in Figure 3.3, the primary delivery mode for the acquisition of clinical skills should be in the previously called for use of observations, practica, internship, and diagnostic skill exercises.

The call for closer cooperation among colleges and universities in developing and sharing instructional materials and promising technology makes good pro-

FIGURE 3.3

THE RECOMMENDED PRIMARY DELIVERY MODE FOR THE PROGRAM EMPHASIS OF COLLEGE AND UNIVERSITY PREPARATION PROGRAMS

Primary Delivery Mode	Acquisition of Conceptual Knowledge	Clinical Skill Building
• course work	x	x
• numerous short-duration on-site observations	x	x
• several extended on-site practica, in collaboration with LEA		x
• a prolonged, ten-week, full-time internship, in collaboration with LEA		x
• diagnostic skill exercises	x	x

grammatic and economic sense. Many faculty members have particular expertise that could be easily shared to enrich all programs. Moreover, the development of high quality case studies, games, and simulations is a time-consuming and costly activity. Sharing the costs associated with their design is a potential way to reduce expenditures for the participating institutions.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation.

Relations with Constituent Groups

Concerning relations with constituent groups, it is recommended that:

#3.13. Meaningful cooperation between colleges and universities and local school systems should be aggressively pursued if many of the recommendations called for here are to be realized. This is especially true with regard to efforts to enhance the recruitment of high quality candidates for the principalship, the need for intensive clinical experiences, and improvement in the quality of the research component of the program.

Rationale. All of the state's local school systems and colleges and universities have a vital stake in improving the quality of the principalship. This shared mission must be translated into close collaboration in the development and implementation of many features of preparation programs, particularly the all-important provision of meaningful clinical experiences. There simply is no substitute for the deep involvement of both parties in this effort.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation.

Program Funding

Concerning the funding of principal preparation programs, it is recommended that:

#3.14. The Maryland State Board for Higher Education, working with the state's public colleges and universities, should aggressively seek changes in existing state funding formulas for program support and adopt an allocation system that more adequately supports higher costs associated with graduate professional education.

Rationale. Institutions offering graduate professional education, especially those that rely upon costly clinical experiences for the implementation of many of their goals, must be adequately supported if they are to offer a quality program. The traditional formula for the support of preparation programs used by many institutions stands as an important disincentive for developing the much richer and more comprehensive professional education called for here. New funding formulas must be created if colleges and universities are to continue to play a significant role in the training of principals.

Major Implication(s). As established above, new funding formulas that more adequately reflect the real costs of a program must be designed by both state agencies and by individual institutions.

Program Evaluation

Concerning the evaluation of college and university preparation programs for principals, it is recommended that:

#3.15. The Maryland State Department of Education should undertake a comprehensive assessment of its current program approval standards for pre-service professional education for principals toward the end of making the standards consistent with the preceding recommendations of the Commission. This assessment should examine the effectiveness of all currently used input, process, and output variables and consider options for improvement that not only incorporate the recommendations of the Commission, but also establish the program approval activity as a meaningful and vigorous check on the quality of the preparation programs approved in the state.

Rationale. The need for a close fit between all of the preceding recommendations for strengthening college and university programs and the process by which the state evaluates a program is undeniable. Any discrepancies between the two will assure that the public interest will not be served. The Commission acknowledges that the state has not only the right but also the responsibility to assure that the preparation programs offered by colleges and universities that lead toward certification represent the best practice that is known.

Major Implication(s). A major overhaul of the current Maryland State Department of Education program approval standards is required to implement this recommendation.

#3.16. In addition to the strengthening of the external program evaluation process called for above, colleges and universities should engage in periodic comprehensive self-evaluations. While all components of the program should be included in this activity, special prominence should be given

to the securing of information on the effectiveness of the program from important constituency groups, especially currently enrolled students and recent graduates, and local school system personnel knowledgeable about recent graduates.

Rationale. The call for periodic self-evaluations to complement the state program approval process makes good programmatic sense. The further call that current students, recent graduates, and local school district officials be deeply involved in the self-evaluations is in recognition that their perceptions are one of the most valid indicators of quality of the program available to a college or university.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation.

SECTION FOUR
Certification Requirements for Principals

Introduction

The certification of principals, like that for other professionals who serve the public, is intended to promote a number of public interests: the development of a license to practice implies a body of knowledge associated with successful practice; the availability of a license allows the general public to make certain assumptions that the holder of the license possesses the competence and skills needed to successfully perform; and the issuance of a license affords the state the opportunity to withdraw the license should the holder engage in a practice judged to be contrary to the public interest.

These intended gatekeeping functions illustrate the critical need for an effective certification process in any effort to improve the quality of the principalship. The certification of principals has traditionally been viewed as the major process to assure that individuals entering the principalship are prepared for satisfactory performance. Certification procedures should be judged as effective primarily to the degree that they achieve this objective.

In Maryland, the state education agency issues the license to practice as a principal. Although the state holds responsibility for developing certification requirements and issuing the license to practice, it is important to note that the Maryland State Department of Education has historically engaged representatives of local systems and the state's colleges and universities in the design of the certification requirements and the processes for their use.

Major Issues

As is true of all dimensions of the Commission's work, substantial debate currently surrounds the issue of certification requirements for the principalship. In the view of the Commission, the fundamental issues being raised center on three themes:

- the adequacy of existing criteria used for certification;
- the number of ways that an individual can satisfy certification requirements, and
- the types of certificates that should be issued and the duration of the certificate(s).

Brief Description of Current Practice

The following brief descriptions of current practices for the certification of principals, organized around the three major issues cited above, are offered:

- Most states use general criteria for the certification of principals (hold a teaching certificate, have teaching experience, and possess paper credits); few re-

quire demonstration of proficiencies necessary to perform the functions of the principalship; the fact that a large number of states, many at the prodding of their state legislatures, have undertaken major revisions in the traditional requirements suggests that dissatisfaction with virtually all of the major aspects of the present system is widespread in both the professional and policy communities.

- A majority of states, including Maryland, use a combination of ways for an individual to satisfy certification requirements; the usual approach is completion of a master's degree from an accredited institution and additional hours of graduate or equivalent course credit.
- Great variations exist in the types of certificates issued by each state: a majority, including Maryland, have different certificates for superintendents and other central office administrators and principals; a large number differentiate between elementary and secondary; a few states, but not Maryland, differentiate between elementary, middle/junior, and high school certification; and, a majority of states, but again, not Maryland, differentiate between a principal and supervisor certificate.
- The duration of the certificate differs across the country: some states, but not Maryland, have continuing education requirements for recertification at either five- or ten-year intervals; most typically, the continuing education requirements include credit for graduate study and/or staff development credit.

Recommendations of the Commission

The recommendations of the Commission for improving the certification requirements of principals are presented below. Note that the proposals focus exclusively on the principalship, consistent with the Commission's charge. The adequacy of current requirements for certification as a supervisor is not examined. Thus, the issue of the appropriateness of retaining, amending, or eliminating the current practice in the state of having identical certification requirements for both principals and supervisors is not addressed. However, given the nature of the recommendations contained in this report, a reexamination of both the role and current certification requirements for supervisors appears to be in order.

Criteria for Initial Certification

While we recommend retention of several existing criteria, a major overhaul of the requirements for initial certification is proposed. The Commission recommends that:

#4.1. The applicant must hold or be eligible to hold an advanced professional certificate (APC), or its equivalent for out-of-state candidates, directly related to his or her area of teaching; hold a master's degree from an accredited college or university; and have five years of successful teaching experience at the appropriate level.

Rationale. The intent of the requirement that an applicant hold an advanced professional certificate in a teaching field is to assure that candidates have the necessary background of professional preparation and experiences in instruction to be

expert teachers. This provision allows necessary distinctions in the level of assignment to be acknowledged. An important incentive is thus provided to make these distinctions during the applicant's preparation.

The call for changes in the current requirement that an applicant have five years of successful teaching experience, not the current three, is consistent with the Commission's strong belief that those charged with providing instructional and managerial direction for a school function best if they have demonstrated their ability to be successful classroom teachers, are knowledgeable about and have appreciation of the problems and issues of teaching, have an understanding of how schools work, and have credibility in the minds of those they are to lead. The Commission believes that there are no shortcuts or substitutes to meaningful classroom experience for acquiring these skills and understandings.

Major Implication(s). Major changes in the By-Laws of the Maryland State Board of Education are required to implement this recommendation.

#4.2. For graduates of a Maryland-accredited college or university, only those who complete an approved program for school-based administrators should be eligible for a certificate. There should be a five-year transition period for full implementation of this recommendation.

Rationale. The elimination of the current credit count option should promote the design of preparation programs that are sequential, cumulative, and focused, as they must be to realize the goal of a meaningful professional training program leading toward initial certification. The elimination of this current option will stand as concrete evidence that the profession and the state is committed to the notion that there is indeed a body of knowledge and a set of carefully prescribed experiences that are essential for the effective training of those who wish to be licensed as a principal in this state.

Moreover, the elimination of the option will prove to be a substantial incentive for colleges and universities that wish to offer an approved program leading toward certification to devote the necessary resources to do so. The present widespread use of the credit count option has encouraged a number of institutions in the state to offer piecemeal courses in direct competition with those institutions who attempt to meet current Maryland State Department of Education program approval standards. While this may not have been the intent of those who supported adoption of the credit count option, it nonetheless has proven to be a major disincentive for the development of high quality precertification preparation programs in the state's colleges and universities.

The proposed five-year limit on the continuation of courses offered by an accredited institution in Maryland is regarded to be adequate time to allow both the institution and students currently in the pipeline to make necessary adaptations in their programs.

Major Implication(s). Major changes in the By-Laws of the Maryland State Board of Education are required to implement this recommendation. Moreover, closing down this means of securing a principal's certificate will exacerbate the historical problem of uneven accessibility to an approved program faced by individuals and school systems in some regions of the state, notably those in Maryland's Eastern

Shore. As recommended elsewhere in this report, the Maryland State Board for Higher Education must accelerate its recent efforts to address this issue.

#4.3. Graduates of an approved program for school-based administrators offered by an accredited college or university in Maryland must successfully complete a Maryland State Department of Education assessment exercise designed to assure that a candidate for certification possess clinical skills in the ten areas of planning and goal setting, instructional supervision, problem analysis, decision making, communication, coordination, interpersonal relations, conflict resolution, development of staff, and stress management.

Rationale. The proposed addition of the demonstration of proficiency in the ten skills cited stands as an important check on the quality of approved programs offered by the state's colleges and universities, and on the preparation programs completed by graduates of other universities. It represents a form of accountability and program rigor heretofore absent. It will better assure that the traditional purposes of certification are realized.

This is so because the ten clinical skill areas are judged to be generic to the leadership and management dimensions of the six major functions of the principalship that the Commission endorses. An assessment of these skill areas is an absolute prerequisite for the determination of the candidate's ability to assume the important responsibility of providing direction to a school.

Major Implication(s). Major changes in the By-Laws of the Maryland State Board of Education are required to implement this recommendation. Moreover, the state's colleges and universities maintaining approved programs must establish meaningful clinical experiences and make other program modifications necessary for the development and demonstration of the proficiencies called for. These will be costly activities and as such have clear fiscal implications.

In addition, the Maryland State Department of Education must develop and schedule assessment exercises in a timely manner to facilitate local school district employment decision processes.

#4.4. Graduates of a program offered by an accredited college or university outside the state must submit a comprehensive case file of their graduate work for review and approval by a Maryland State Department of Education Review Panel to 1) meet the requirements included in Recommendation 4.1 above, and 2) ascertain that the graduate work is compatible with the program approval standards applied to Maryland colleges and universities. Individuals with less than three years experience as principals must successfully complete a Maryland State Department of Education assessment exercise that treats the ten skill areas cited in Recommendation #4.3 above.

Rationale. The requirement that an applicant who is not a graduate of a state-approved preparation program submit comprehensive documentation on his or her preparation represents an important check on the quality of the candidate's work.

This requirement assures that the public interest is protected, especially when coupled with completing an assessment exercise as previously recommended. There is substantial precedence for this requirement in other professions. Moreover, we do not believe that the requirement will handicap local school systems who desire to engage in regional or national searches.

Major Implication(s). Major changes in the By-Laws of the Maryland State Board of Education are required to implement this recommendation. In addition, the Maryland State Department of Education must develop, in cooperation with other states, criteria and a process for assessing the quality of preparation programs for school-based administrators offered by accredited institutions in states other than Maryland. Additionally, the development and administration of the assessment exercises carries clear fiscal implications.

Types of Certificates and Duration Period

Concerning the types of certificates to be awarded by the state, it is recommended that:

#4.5. The existing practice of awarding a principal's certificate based on the level of assignment should be continued.

Rationale. In the judgment of the Commission, necessary differentiation between an elementary, middle/junior, or high school principal's certificate can be established through the use of one of the existing certification requirements that call for the candidate to be eligible for a professional certificate appropriate to the level of assignment. However, the Commission acknowledges that there are indeed some peculiarities associated with different levels of the principalship and have urged colleges and universities to reflect these in their approved programs of study.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation.

Concerning the duration of the certificate, it is recommended that:

#4.6. A certificate for a practicing principal should be required to be renewed every five years and that the requirements for renewal should be established in an individualized professional development plan (IPDP) that is designed by the employing school system and the candidate for certificate renewal. The successful completion of the individualized professional development plan should be certified by the local school system to the Maryland State Department of Education.

Rationale. The Commission believes that it is in the public and professional interest to discontinue the current practice that virtually amounts to life-long certification. The need for a principal to continuously keep abreast of the latest research and practice through his or her career is obvious. Linking the recertification requirements to the individual's IPDP as proposed here is intended to achieve two objectives: give added weight to the importance that the Commission places on the need to systematically plan for the career-long training for the principalship, and provide an additional focus for the evaluation practices used by local districts. The recommended requirement that a local district official certify the successful attainment of

the recertification plan provides the necessary check on the process as well as adds an important quality control measure. The state education agency can periodically assess these proposed processes to ascertain that the objectives of the proposal are being achieved and that the interests of the state are being protected.

Major Implication(s). Major changes in the By-Laws of the Maryland State Board of Education are required to implement these recommendations. However, local systems need to carefully review their current evaluation practices in order to assure that the intent of this recommendation is implemented. No fiscal implications are perceived.

#4.7. A certificate for a non-practicing principal, including assistant principals, should be required to be renewed every five years. The requirement for renewal may be met by: 1) completing locally approved workshops, and/or 2) completing Maryland State Department of Education approved workshops, and/or 3) completing coursework at an accredited college or university. An individual not employed as a practicing principal for a five-year period must successfully complete a Maryland State Department of Education assessment exercise prior to employment as a principal.

Rationale. The need for the continuous, career-long training of assistant principals is as compelling as that for principals. The recommendation that an individual not employed as a practicing principal for a five-year period successfully complete an MSDE assessment exercise as a prerequisite for recertification is designed to provide a meaningful check that the individual has remained current in the intervening years since receiving his or her preceding license to practice as a principal in this state.

Major Implication(s). Major changes in the By-Laws of the Maryland State Board of Education would be required to implement this recommendation.

SECTION FIVE
Selection Practices

Introduction

Although colleges and universities are involved in preparation programs and the state education agency is concerned with establishing certification and preparation program approval standards, the actual selection of principals is made by the local school system. It is clearly one of the most critical decisions a local school system must make.

A great deal is written about the importance of school leaders, especially school principals, in establishing the climate and setting goals to maintain a school where students can learn and develop positive attitudes. The selection of individuals who have the potential for tremendous leadership energies needed by schools is of great importance. Yet presently, the pool of candidates is essentially the result of a self-selection process, determined primarily by who enrolls in the graduate colleges of education and meet certification requirements of the state. Lynn Cornett, of the Southern Regional Education Board, in a presentation to the Commission, made use of the following quotes to characterize the principal selection situation in this country:

> Ernest Boyer describes the selection of school principals as "Cloudy as anything on the job market." Roland Barth, of the Harvard Graduate School of Education and himself a principal for many years, says that " . . . selection of principals often involves in-house fighting, deals, and promises." Oftentimes hidden agendas are at work. The selection may already have taken place but the process including interviews may take place for political reasons. These are probably extremes, but all the research points to selection processes at the local level that are not well developed. In addition to being nebulous, very few of the local selection systems take into account those behaviors or characteristics of individuals that are strongly associated with effective leadership.

Major Issues

In the view of the Commission, four fundamental over-arching questions embrace the basic issues that ought to be addressed in considering selection practices:

- What processes should be used?
- What criteria should be used?
- What elements of fairness, access, and equity should be a part of the process of selection?
- Does the local control issue need strengthening or should a level of state involvement in selection be stressed?

Brief Description of Current Practice

The Commission collected data on the procedures used by school systems in the state and nation to appoint principals. A survey of Maryland school systems revealed the following:

- Each system has an established process for selecting principals.
- The local superintendent makes the decision as to which candidate to nominate for board of education final approval. Local decisions are based on local criteria, with the state being involved only with setting certification standards.
- The interview is heavily relied on, although there is some variation based on the size of the system. Some school systems go beyond the interview process, using information gained from administrative training programs, assessment centers, and internship programs.

Negotiated agreement provisions of selected school systems were also examined to identify additional information on the selection practices, but provided little information.

Recent research on principal selection practices at the local level was completed by Richard Dentler and Catherine Baltzell in 1982. They studied ten districts throughout the country that varied by size, location, and type of district. The formality of the decisions varied, but much of the process was described as "the way we do it here" with little written policy. The selection processes, from posting a vacancy to decision, were deeply rooted in the culture of the community, the school bureaucracy, and the superintendent's desire for control of the situation.

Baltzell and Dentler describe the selection process stages as: announcing vacancies, establishing criteria, developing a pool of applicants (many of whom have been in the pool for a number of years), screening, and decision making.

The most widescale state level programs involve the use of the NASSP Assessment Center Project as an aid in local school district selection practices. South Carolina, in 1983, was the first state to institute a statewide program. Since then, North Carolina and Maryland have established regional assessment centers.

A number of Southern Regional Education Board states passed extensive legislation during 1984 related to school administrators and to the selection of principals. In Florida, for example, each district is required to adopt and implement an objective-based process for screening and selecting assistant principals and principals using guidelines issued by the state. Florida has also conducted research to identify characteristics of high-performing principals from which a list of basic competency characteristics that school leaders should possess, as well as those possessed by the "high performers," has been developed. School districts are required to develop a comprehensive process that serves to screen, assess, and aid in developing the desired characteristics in prospective school leaders. All districts must use some form of performance sampling (job-related simulations, assessment center, or targeted selection interviews) in their system. In addition, the districts must provide feedback and career counseling to all persons who have applied and whose performance has been "sampled."

Another legislative initiative passed in some states is the testing of educators seeking to become administrators. Georgia and Alabama now require tests for indi-

viduals requesting initial certification. Florida and Texas have adopted legislation that will require examinations for administrative personnel. Arkansas is currently the only state that requires testing all veteran school personnel for recertification.

Recommendations of the Commission

Because of the importance of the selection process for principals, a three-step model (pre-screening, screening, and selection stages) process is recommended for consideration by local school systems as they work to improve their selection practices. The model is appropriate for the initial selection of principals, vice-principals, and administrative assistants or interns. The second and third steps of the proposed model (screening, selection) could also be used in the principal transfer and reassignment processes. Different standards would apply for different job descriptions, but the same selection procedures could be followed.

Overall, the model is designed to improve a local school system's ability to identify the best possible person for a job as defined by the specific job description. While current selection practices already include various aspects of the model, it is hoped that this total proposal will provide a greater consistency and quality to the selection processes across the state. The model emphasizes that particular attention should be given to the development of job descriptions that are related to actual job requirements, that the selection decision should be based on specific criteria, and that objectivity should be emphasized. Fairness and equal access to the process for all qualified individuals are important equity considerations. In addition, the selection process should be open and accessible to candidates from outside the school system. Regional coordination of activities designed to develop applicant pools may also be useful in achieving this latter goal.

An overview of the three-step model process for the selection of principals argued for here is presented below:

- *Pre-Screening*. Goals of this part of the selection process are to provide potential candidates with the opportunity to receive the information, training, and experiences needed to be considered for positions in administration and to provide school systems with as large a number of qualified potential candidates as possible for positions of educational leadership. Candidates are identified by self-nomination, along with counseling and encouragement by practicing administrators. The pre-screening process provides the candidates with the chance to identify their career goals, seek to acquire needed academic and professional training, improve personal qualities, and attempt to become eligible for certification.
- *Screening*. The job advertisement should honestly and accurately reflect the vacancy and the application form designed to elicit all information desired from applicants. The system's actions must be thorough and carefully documented. Such data as application materials, required written materials, credentials, references, and assessment reports should be carefully considered.
- *Selection*. The individual selected must have the ability, will, and necessary competencies to do the job. The individual should have successfully completed all of the assessment criteria established in the screening process. Even with a high degree of objectivity in the process, the judgment of the superin-

tendent complemented with the views of his or her staff will be an integral part of the process. Once an individual is selected, a mentor should be designated to support each newly appointed principal.

More specific recommendations, all consistent with the proposed model, are offered by the Commission.

#5.1. Since selection of principals is and should remain the responsibility of local school systems, those systems should establish a comprehensive process that encompasses pre-screening, screening, and selection activities.

Rationale. This three-tier approach enables local school systems to identify individuals with leadership potential, develop their talent, and select the most qualified candidate. Local school systems that commit the necessary resources to develop this approach will be in a position to select the best possible candidates for school-based administrative positions. Although the placement of individuals into school-based administrative positions represents the final step of the selection process, it cannot have significant meaning without legitimate pre-screening and screening considerations. Given the importance of the principalship to the instructional improvement in the school, efforts to assure that highly qualified individuals are selected for the position(s) are essential.

Major Implication(s). Some local school systems may need to restructure their entire procedure for selecting principals, especially those systems without any significant pre-screening activities. While this activity may have some minor fiscal implications, the major impact will be on the workload of key administrative personnel. Policy development and enactment will be necessary.

#5.2. Local school systems should establish and publish a comprehensive policy that identifies the process and procedures to be used for selecting principals. Moreover, the policy should address ethnic and gender representation on screening and selection committees, an appeal process, and reporting procedures that explain the selection process and its relationship to merit and equity aims.

Rationale. Local school systems that take all necessary steps to ensure that selection practices are as objective as possible will increase the validity of their selection process and, as a result, have more effective leaders in principalship positions. Effective policy statements will serve to strengthen the legitimacy and integrity of the selection process; widespread dissemination will enable all to have confidence in the fairness, thoroughness, and objectivity of the process.

Major Implications. A number of local school systems may need to revise, publish, and disseminate their policies and procedures on selection practices.

#5.3. Local school systems should consider, as a matter of course, generating an applicant pool of potential candidates for the school principalship. Local school systems should work, in conjunction with colleges and universities and the Maryland State Department of Education, to develop and

implement the administrative training programs, apprenticeships, and/or internship programs called for elsewhere in this report that would enhance the identification and development of potential educational leaders within the local school systems. Procedures should be designed to monitor the progress of potential educational leaders as they enhance their skills and qualifications.

Rationale. Local school systems that have ways to identify and build upon the strengths of individuals with both the leadership capability and interest in becoming principals make an investment in school administration. Implementing training programs for potential educational leaders will provide local school systems with an opportunity to build a foundation for career growth within their school organizations. Maintaining a pool of highly motivated applicants who seek opportunities for promotion and growth will serve to strengthen the selection process.

Major Implication(s). The establishment of new leadership development programs will have a significant fiscal impact for those systems that do not now have such activities. They may find it advantageous to develop regional training programs rather than attempt to sponsor an individual system activity. Regional programs for staff development are being demonstrated all across the country as an efficient and effective way to address common problems. Existing leadership development training programs may need to be revised or formalized.

#5.4. Local school systems should establish selection practices that have applicant intake processes open to all candidates who meet the eligibility criteria. Eligibility criteria should state all of the duties and skills required for principalship positions. All candidates who meet the eligibility criteria should have equal access to participating in the selection process. Vacancy announcements should be widely disseminated.

Rationale. Selection practices operated in a fair and open manner and, equally important, perceived to be that way by prospective applicants will encourage the candidate's interest and confidence in the local school system. The local systems will then be better able to seek the best candidates for principalship vacancies.

Major Implication(s). Some job descriptions may need to be revised. Practices used by many districts for publishing and disseminating job openings and requirements would need revision.

#5.5. Local school systems should establish selection practices that balance multiple sources of evidence with multiple sources of assessment information in order to gain a comprehensive picture of all applicants before the decision-making process begins.

Rationale. Using the interview process as the sole basis for making selection decisions for school-based administrative positions is fraught with danger. The entire portfolio of the applicants including experience, knowledge, training and skill development, and assessment data combine to provide a more reliable information basis for use in selection decisions.

Major Implication(s). Some local school systems may need to revise their selec-

tion practices and formalize the use of multiple sources of evidence. A number of school systems have already begun this change by using an assessment center as a new part of their selection process. A minor fiscal impact will result.

#5.6. Local school systems should continually evaluate the results of selection practices and procedures in terms of ethnic and gender representation. This evaluation process should go beyond looking at local education agency affirmative action goals and should evaluate procedures that allow women and minority group members who demonstrate educational leadership potential opportunities to obtain school principalship positions.

Rationale. Employment statistics clearly reflect the under-representation of women and minorities in principalship positions in many districts. Given the potential loss of educational leadership, schools can have more effective principals if these traditionally under-utilized groups are provided full opportunities for promotion.

Major Implication(s). Local school systems would need to commit their energies to affirmative action programs and eliminate any barriers that work to negate merit and qualification as the prime factors in the selection practice.

#5.7. The continual evaluation called for above should include all other facets of the selection process. Personnel from each segment of the selection process should be involved in the review, evaluation, and revision of the policies and procedures. The evaluation process and outcomes should be well publicized.

Rationale. Unless there is a consensus that existing selection practices within local school systems need change in substantial ways, any effort to improve principal selection practices will be of limited value. Involvement in the policy evaluation process of as many professionals as possible is one way to build consensus.

Major Implication(s). Some local school systems will need to establish a formal process for evaluating their selection practices. Other local school systems may need to modify their current evaluation policy.

#5.8. A comprehensive supply and demand study of the principalship should be conducted in the state periodically. This should be a collaborative effort supported by local school districts, colleges and universities, and the state education agency.

Rationale. Current data from which projected personnel needs can be developed is necessary for statewide, individual local school system, and college and university planning.

Major Implication(s). The design and initial collection of data for supply and demand studies will require some resource allocations. Once done, the continuous up-dating of the data should not be a major effort.

#5.9. Beginning and career salaries paid to principals must be competitive with and comparable to salaries for key leadership personnel in business and government. Year-round employment should be considered for all principals.

Rationale. The successful recruitment of quality candidates for the principalship is dependent on many factors, not the least of which are beginning and career salaries that are professionally competitive and market sensitive. The use of a twelve-month contract, noted elsewhere as an important facilitator for establishing meaningful professional development activities, would also contribute to the goal of making the principalship an attractive career.

Major Implication(s). A major fiscal impact for many systems across the state would result from the implementation of this recommendation.

SECTION SIX
Professional Development Practices

Introduction

Career-long learning is a fundamental part of the continuing growth and development of the principal and the school served.

The following beliefs provided the basic framework for the Commission's recommendations on professional development of school principals:

- The principal is the key to school improvement and effectiveness.
- Professional development is essential for professional growth and, therefore, should be mandated.
- Effective professional development requires a comprehensive and on-going approach.
- Professional growth should be emphasized to enhance the motivation of principals to participate fully in the individualized professional development program (IPDP).
- An understanding of adult learning styles must underlie the development and implementation of professional inservice programs.
- Professional development programs should be a career-long, individualized, continuing process.
- The commitment, collaboration, and financial support of the local school systems, the Maryland State Department of Education, and colleges and universities are vital to the development and maintenance of effective professional development programs for principals.

Major Issues

The Commission considered the following major issues regarding professional development programs during the course of its deliberations:

- planning and delivery of professional development programs
- organizational commitment for professional development
- funding for professional development programs
- collaborative relationships among local school systems, the Maryland State Department of Education, and colleges and universities.

Brief Description of Current Practice

Local School System Level

A majority of the local school systems in Maryland provide professional development programs for principals; however, they vary greatly in their comprehensiveness. Virtually all local school systems participate in the Maryland Professional Development Academy sponsored by the Maryland State Department of Education. Some local systems use the Academy as their main formal professional development

program offered to principals; others take advantage of the grant assistance offered by the Academy to further extend professional growth opportunities.

Some local school systems meet monthly to offer principals an opportunity for a "one shot" professional development program. A few others take their principals on a yearly retreat and conduct professional development programs in a conference setting.

A number of local school systems have highly structured professional development programs that are continuous and cover a wide variety of educational issues.

There seems to be very little formal systematic collaboration between local school systems and colleges and universities relating to professional development programs for principals.

Maryland State Level

At the state level, the Maryland Professional Development Academy provides the basis for the Maryland State Department of Education's effort to provide professional development to principals. This program enjoys a high level of interest among the local school systems. The Academy also offers local school systems an internship program in school administration. The internship program is designed to develop prospective school leaders who have been identified as such by their local school superintendents.

National Level

Some professional organizations and colleges and universities offer professional development programs for principals on the national level. The three major national principals' associations sponsor annual conferences and regional institutes to provide professional development programs for their respective members.

The National Association of Secondary School Principals developed the Assessment Center Project that has been implemented by some school systems throughout the country. As a follow-up to its Assessment Center, the Association more recently developed the Springfield Developmental Program to provide principals with structured professional development activities.

Principals often participate in professional growth opportunities, such as national conferences and regional institutes and seminars, sponsored by the Association for Supervision and Curriculum Development and the American Association for School Administrators for their respective members.

At the college and university level, two exemplary professional development programs for principals can be found at Harvard University and the University of Oregon. The Harvard Graduate School of Education offers the Principal's Center, a program that provides principals a forum for the exchange of ideas and the acquisition of new skills.

The Division of Educational Policy and Management at the University of Oregon conducts two programs for principals that include the Executive Leadership Program and the Research Based Training for School Administrators program. The Executive Leadership Program offers statewide workshops on pertinent educational issues designed to enhance the professional and personal knowledge of experienced administrators. The Research Based Training for School Administrators program disseminates research findings and state-of-the-art literature in education and management to school administrators.

Recommendations of the Commission

The recommendations of the Commission for improving professional development programs for principals are presented below.

#6.1. A policy commitment and adequate systemic financial support by the local school systems, the Maryland State Department of Education, and colleges and universities are essential for the development and implementation of professional development programs.

Rationale. Effective professional development programs must have the full philosophic and fiscal support of the educational leadership if leadership development activities are to occur. This support serves to formulate policy objectives and long range systemic professional development goals. Time for professional development activities as well as resources for the activities must be provided to ensure the continued professional growth of all school principals.

Major Implication(s). Local school systems and the Maryland State Department of Education will have to develop more effective funding strategies to adequately finance professional development programs. One such strategy may be allocating a percentage of the total operational budget to professional development programs. Because continuous professional development must be an integral component of the principalship, those local school systems that do not currently employ principals on a twelve-month basis should consider doing so. The summer months provide an excellent opportunity for local school systems to conduct professional development programs. The Maryland State Department of Education should continue to fund, support, and increase the grant allocations of the Maryland Professional Development Academy. Public colleges and universities and the Maryland State Board of Higher Education should reevaluate their credit count driven budget process when providing public service to local school systems and the Maryland State Department of Education.

#6.2 Local school systems should be the primary decision maker for the design and implementation of professional development programs. Local districts should develop comprehensive professional development plans that address district or area concerns and procedures to implement individualized professional development plans (IPDPs) that enhance the skills of principals.

Rationale. Each local school system should have the responsibility and the autonomy of administering its own professional development program to immediately address local educational concerns and to maintain local control. Local school systems using individualized professional development programs can work simultaneously with all principals to address school system, local school, and individual professional development needs.

Major Implication(s). Local school systems will need to develop policy and design professional development programs to meet local needs. Individualized professional development plans that recognize the professional growth of principals as a major organizational priority must be formulated. Local school system policy and fiscal implications would result.

#6.3. Each local school system's professional development program should be developed as a result of a collaborative effort among the Maryland State Department of Education, colleges and universities, and other local school systems (especially where regional programs may be more feasible than local ones). Furthermore, colleges and universities are encouraged to provide personnel to assist local school systems with the development, critique, and delivery of professional development programs. The Maryland State Department of Education should also develop professional programs that address statewide concerns in collaboration with local school systems.

Rationale. Every effort should be explored to assure that local school systems have the technical assistance and support to plan and conduct professional development programs. This support, with both finances and personnel, should primarily come from the Maryland State Department of Education and colleges and universities. This synergistic relationship would serve only to strengthen professional development programs at all levels across the state.

Major Implication(s). The Maryland State Board for Higher Education and the Maryland State Board of Education should explore ways to eliminate barriers that presently restrict collaboration among the local school systems, the Maryland State Department of Education, and colleges and universities. Such barriers include, but are not limited to, overhead costs; a budget process that stresses credit-hour count; the pressures for professors to publish or conduct research rather than provide public service to the local school systems; and the many varied demands made upon the time of MSDE and local school system administrative officials.

#6.4. The administrative evaluation process of local school systems should include, in addition to performance-based criteria, individualized professional development plans (IPDPs) for principals that contain objectives and action plans that have been jointly agreed upon by the individual and the evaluator. The IPDP should also contain specific action designed for growth in the performance of professional responsibilities of principals. An assessment concept can be used to identify the professional development needs of principals. This information should be used by principals to formulate the individualized professional development plans.

Rationale. Participation by principals in professional development programs will be increased if the concept is made a part of the local school system's evaluation process. By linking the individualized professional development plan to the evaluation and certification processes, local school systems emphasize the importance of lifelong learning and its relationship to effective school-based administrative performance. Professional development programs should be an integral component of principals' normal job-related activities, not viewed as an addition to their work schedule. Such techniques as mentorships, especially for newly appointed principals, and peer reviews hold promise for supporting professional development and assistance.

Major Implication(s). Local school systems will need to revise their evaluation process to incorporate the individualized professional development plan (IPDP).

Also, as established previously, the proposed certificate renewal standards should be based on a principal's IPDP.

#6.5. Colleges and universities have developed reward systems for both promotion and tenure, as well as merit salary, that emphasize the faculty member's research, publications, and teaching but do not give much consideration to service. If colleges and universities are to participate effectively with state and local school personnel in providing professional development programs for principals, the existing reward structures must be modified so that incentives, not barriers, exist for college and university faculty to assist in this collaboration.

Rationale. It is clear that college and university faculty members are expected to teach, conduct research, and publish. While "service" is also stated as an objective, little clarity exists on what "service" is and how—if at all—it fits into existing college and university reward structures. In 1984, a Maryland State Board for Higher Education (SBHE) Advisory Task Force studied this issue and recommended that the concept of "profession-related public service" become a part of the college and university faculty evaluation system. The SBHE Task Force noted that providing rewards and incentives is the single most critical factor in determining the extent and effect of the commitment of colleges and universities to real collaboration with public school systems. In 1986, the SBHE formally adopted the Maryland Statewide Plan for Postsecondary Education, which includes a major section on strengthening partnerships with the public schools. The issue is clear, well-researched, well-documented, and yet remains a major problem.

Major Implication(s). A re-ordering of college and university priorities as well as resources would be necessary to implement this proposal.

SECTION SEVEN
Evaluation Practices

Introduction

The establishment of meaningful evaluation plans for principals commands high public and professional interest. Formal evaluation of administrators is a relatively recent development and remains today a largely underdeveloped activity immersed in seemingly endless debate concerning both its purpose and processes.

The continuing search for means of providing effective performance appraisal of principals is a priority of the highest order. Failure to do so will seriously undermine all other efforts to strengthen the principalship addressed in this report.

Presently in Maryland, organizational responsibility for the evaluation of principals rests exclusively with each local school district.

Major Issues

As is to be expected, the issue of the evaluation of principals forces one to consider a number of questions. Embedded in them are differing value judgments as well as varying viewpoints on how best to approach the task once agreement is reached on the fundamental purpose of performance appraisal.

In the view of the Commission, four fundamental over-arching, and what we regard in many ways to be, sequential questions embrace the basic issues that ought to be addressed in considering evaluation practices:

- What should be the purpose or purposes of evaluation?
- What should be the focus of evaluation?
- What should be the conditions of the evaluation?
- Who should evaluate the principal?

To these four fundamental questions we add a fifth that is increasingly being posed as an outgrowth of the broad-based school improvement initiatives underway all across the nation:

- What should be the role of the state in the evaluation of principals?

Brief Description of Current Practice

The following major observations concerning current practices in the state and nation are organized around the five major questions cited above:

- While the purpose of evaluation is not always established in policy, it seems that most systems embrace features of both formative evaluation (help individual principals improve performance) and summative evaluation (help make judgments about principal performance for use in personnel decisions).
- The majority of systems combine three themes in implementing their evaluation programs: the use of personal traits or characteristics of principals presumed to be associated with effectiveness; the processes used by principals in the performance of specific functions; and the assessment of performance ob-

jectives, most often mutually determined by both the evaluator and the principal.

- The conditions under which evaluations are performed vary substantially in local school systems; however, the following patterns are used by a majority of systems: annual evaluations; a common set of procedural steps (e.g., a written self-evaluation, both a preliminary and a culminating conference between the evaluator and evaluatee; an evaluation report submitted to the evaluatee and requiring a sign-off, and the option of the evaluatee to file a dissenting statement); multiple sources to collect data (e.g., observations provided by the principal's immediate supervisor and self-evaluation); and a combination of techniques to record evaluation data, especially item checklists.
- Responsibility for conducting the evaluation seems to be a function of the enrollment size of the system in that the superintendent is often the evaluator in smaller districts whereas this responsibility is assumed by the principal's immediate supervisor in the larger districts. Few districts make use of an appraisal team, although many of the larger systems involve a number of individuals in some facet of the evaluation.
- Unlike many states, the evaluation of principals in Maryland rests exclusively with each of the twenty-four local jurisdictions; the By-Laws of the State Board of Education are silent on this issue.

Recommendations of the Commission

The recommendations that follow are organized into four categories: organizational responsibility for evaluation, purposes of evaluation, procedures to be used, and the nature and use of evaluation instruments.

Organizational Responsibility for Evaluation

Concerning the organizational responsibility for the evaluation of principals, it is recommended that:

#7.1. The long-standing tradition of local control over all aspects of the evaluation of principals is the most effective system and should be retained.

Rationale. A local school system has the ultimate responsibility for the personnel it employs. It follows, then, that the individual district should have the autonomy to design the evaluation system most appropriate to its goals, needs, and tradition. The most meaningful role for the state and colleges and universities in this activity is providing technical assistance to local districts on request.

Major Implication(s). This recommendation is consistent with current practice in the state. Therefore, no regulatory action is required. Similarly, no major fiscal implications are perceived.

Purposes of Evaluation

Concerning the purposes of evaluation, it is recommended that:

#7.2. The overriding purposes of evaluation should be three-fold: it should serve as a means to help individuals improve their effectiveness, aid in

improving the quality of education at the school building site, and contribute to the improvement of the school system.

Rationale. The Commission holds the view that the evaluation of principals must achieve three over-riding objectives: improve the performance of the individuals and bring about improvement in the school, and subsequently, the school system. It rejects the notion that evaluation cannot simultaneously serve these three purposes. And it is confident that the professional community has the commitment and creativity to establish a planned, structured system to accommodate these objectives.

Major Implication(s). This recommendation does not carry any perceived major regulatory or fiscal implications. However, major changes must be made in local system policies that are vague regarding evaluation or that are less comprehensive than those argued for here.

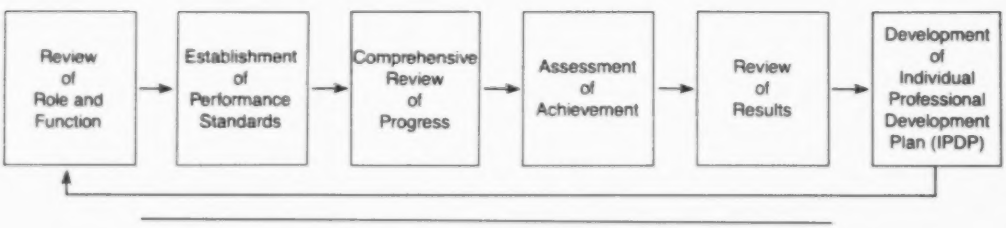
Procedures to be Used

Concerning the procedures to be used in evaluation, it is recommended that:

#7.3. Six common components should be incorporated in all evaluations: an initial systematic review of the role and function of the individual, the establishment of performance standards, a comprehensive review of progress, an assessment of achievement, a review of the results, and the development of an individual professional development plan (IPDP) for each principal.

FIGURE 7.1

THE COMMON COMPONENTS OF THE EVALUATION PROCESS


Review of Role and Function
Establishment of Performance Standards
Comprehensive Review of Progress
Assessment of Achievement
Review of Results
Development of Individual Professional Development Plan (IPDP)

Rationale. Collectively these six common components in the evaluation process are essential to a high quality, comprehensive, and equitable system. The use of all six *together* represents a synthesis of what the literature suggests is the best of the state of the art in evaluation practice. All six components should be used for all principal evaluations, irrespective of elementary, middle/junior, or senior high school level.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation. However, since common practice in Maryland does not include use of all six components for all principals, it will be necessary for many local school systems to adopt major changes in their current procedures. Of particular importance will be the need for many districts to greatly enhance professional development for both evaluators and principals.

#7.4. In the implementation of these common components, the distinctions in the role and function of elementary, middle/junior high, and senior high school principals should be appropriately reflected.

Rationale. Differences in the role and function of elementary, middle/junior, and senior high school principals in all elements of the evaluation should be acknowledged. These differences, especially those having to do with the diversity of curriculum, the specialization of staff, the nature of the student body, the scope of the program, and diversity of publics dealt with, must be reflected in the way that the six components are designed and implemented. And nowhere is this more true than in the review of the role and function, the establishment of performance standards, and the assessment of achievement phases of the evaluation.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation. However, this largely technical problem, while solveable, would require many local school systems in the state to engage in a major overhaul of their existing evaluation instruments.

#7.5. A formal evaluation for both newly appointed principals and for those in the first year of a reassignment should be conducted at the end of the first year and at two-year intervals thereafter. The prime responsibility for the evaluation should be assigned to an individual or individuals in regular contact with the evaluatee (e.g., the immediate supervisor). However, great care should be exercised in establishing the number of principals to be assigned to one evaluator, given the need for a comprehensive and valid evaluation.

Rationale. Maximum benefits of evaluation for both the individual and the school system will be realized if the activity is systematic and timely. The call for a formal evaluation at the end of year one for both new or reassigned principals will contribute to these twin objectives. The recommendation that all subsequent evaluations occur at two-year intervals rather than a more protracted period is intended to achieve these same goals, although the two-year cycle also acknowledges that many major self-improvement or building or system-wide objectives require more than a single year to be accomplished.

The prime responsibility for evaluation of the principal should rest with his/her immediate supervisor since this individual is the most knowledgeable about the scope of the work of the principal. This recommendation should in no way preclude involving others also knowledgeable about the work of the principal on an appraisal team that would provide additional insights for use by the evaluator.

Completion of all aspects of the comprehensive evaluation called for here is a time-consuming and demanding task. In the normal course of a year, each supervisor would be expected to devote a substantial amount of his or her time to this activity. Although the Commission holds the view that the meaningful evaluation of principals is one of the most important functions that a supervisor can perform, it is also mindful that ordinarily this responsibility is but one of many duties of most senior level administrators. Nonetheless, the Commission feels strongly that quality will suffer if too many evaluations are assigned to one individual, or the members of a complementary appraisal team, in any given year. If adjustments in the workload

of supervisors, particularly those in the state's larger systems, must be made, these should be done in areas other than evaluation.

Major Implication(s). No major regulatory implications are perceived to implement this recommendation. However, a two-year interval for evaluations of experienced principals will require adjustments in the work demands on evaluators in those school systems that presently have shorter or longer time intervals for this activity. Additionally, objectives will need to be viewed in terms of both short- and long-range achievement. To make this process most effective, local school systems must carefully plan interim year data gathering activities.

Furthermore, many school systems will need to establish mechanisms for the collection and analysis of written data from members of the school system who have both direct and indirect experiences with the principal during his/her evaluation. Also, major adjustments in the organizational structures of many of the state's larger school systems would be required to accommodate this recommendation and an immediately related one (recommendation #6) that calls for the assignment of prime responsibility for evaluation to the principal's immediate supervisor. An additional cost to a local system could likely result from assigning fewer evaluations to evaluators in those systems where the current pattern is to assign unreasonably large numbers of evaluations to a single evaluator.

#7.6. Supporting data to be used in the evaluation should be established by the evaluator and evaluatee at the beginning of the process. Carefully constructed and highly individualized written self-evaluations should be an integral part of the evaluation of a principal.

Rationale. The Commission believes that principals must participate in and fully understand the intent and scope of the evaluation. It is at the pre-evaluation conference where the most useful discussions can occur and where a supporting relationship can be first established. It is here that the evaluator can establish the school system's expectations and it is here that the evaluatee can provide his or her insights on data that will be most useful in conducting the evaluation. Additionally, engaging principals in the early determination of the scope and processes to be used will more likely result in their viewing the evaluation as an opportunity, not a threat.

Moreover, self-evaluations, when used alone, are not reliable indicators of performance. However, when used in conjunction with the data called for in the preceding recommendation, they can be extremely worthwhile and should be used. They are one of the best ways to find out how principals think they are doing and thus help pinpoint areas of individual strengths and weaknesses. As such, they are a powerful diagnostic tool to assist in a principal's self-improvement efforts.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation. However, many of the state's school systems will need to establish guidelines for monitoring the implementation of system-wide use of comparable data by different evaluators in cases where more than one person provides data for use in the evaluation. Additionally, since most Maryland school systems do not currently use individualized self-evaluation approaches in a systematic manner, local guidelines will need to be established to assure consistency and quality.

#7.7. The processes and practices used by the principal in monitoring student performance data and faculty performance data and the way in which these data are used to achieve school system goals should be included in the scope of the evaluation. However, care must be exercised that information of this type is unquestionably reliable, valid, and relevant.

Rationale. The uses of student achievement data and faculty performance data are important ways to achieve two of the three over-riding purposes of evaluation (judging the performance of the school building and the school system) and should be incorporated, along with other data, in the establishment of performance standards and in the assessment of achievement. On this the Commission has no qualms whatsoever. If the primary mission of schools is to educate children and youth, then the evaluation of principals should be based in part on the processes and practices the principal uses to monitor students' learning, to monitor student and staff attendance, and to use other measures that are central prerequisites for schooling.

Major Implication(s). No major regulatory implications are perceived to implement this recommendation. However, a clear fiscal note is recognized in that the use of this type of data and the procedures necessary for their implementation would require a local system to develop comprehensive and longitudinal data banks for each building level unit in the district. Technical problems of this type, while solveable, would require a commitment of substantial resources. Additionally, it is anticipated that major modifications in the prevailing practices of many systems would be required in order to make a principal truly accountable for the way in which he or she monitors and takes action to influence the achievement of some measures (e.g., teacher attendance practices, student attendance patterns).

#7.8. The local school system should commit necessary resources for the periodic and systematic training in personnel appraisal for all evaluators.

Rationale. A poorly trained evaluator can negatively affect even the best designed evaluation system. On the other hand, an unqualified evaluator can virtually destroy the comprehensive system called for in this report. Moreover, one of the minimal expectations of the evaluatee should be that those who do the evaluation possess the necessary skills and competencies required. Evaluation is an imprecise practice and probably always will be. It will always require the use of qualitative judgment in all of its elements. But there is no cause to believe that evaluators, by virtue of their position or experience, automatically possess requisite skills. A systematic training program in personnel appraisal is one of the absolute conditions for a high quality program.

Major Implication(s). No major regulatory implications are perceived to implement this recommendation. However, from what the Commission has been able to discern from the limited data available, most school systems tend to devote meager resources to professional development programs generally and particularly to the important function of training of its evaluators. Thus a widespread recommitment of resources for this activity appears to be a necessity in many situations.

#7.9. **All elements of the evaluation procedures for principals should themselves be subjected to periodic analysis to ensure that the processes used are consistent with the three over-riding objectives and that individuals are treated fairly and even-handedly. Principals should be deeply engaged in these assessments.**

Rationale. The need for the periodic review of the entire evaluation system is no different from the need to subject all educational practices to regular examination and to ask the dual questions—Does the program do what it is intended to do? And, if not, why not? Moreover, like many other comprehensive activities that involve human relationships at the most fundamental level, slippages occur and contingencies frequently arise whose impact on the process must be assessed. And, given the imprecise nature of the current state of the art, period evaluation just makes good management sense.

The special note that fair treatment of the principal be one of the foci of the evaluation design is intended to give prominence to the fact that the evaluation of principals, while an absolute necessity, is nonetheless a complex process for the evaluatee. One of the minimal expectations of the principal should be that his or her fair treatment is guaranteed at every stage of the activity.

The insights of those who are the focus of the activity are probably unmatched in revealing the strengths and weaknesses of the process. As such, they should be sought when designing and conducting the assessment. Moreover, the involvement of principals should contribute to the development of a sense of ownership in the system as well as contribute to the quality of the analyses.

Major Implication(s). No major regulatory or fiscal implications are perceived to implement this recommendation.

The Nature and Uses of Evaluation Instruments

Concerning the nature and uses of evaluation instruments, it is recommended that:

#7.10. **Because of its necessary centrality to the entire evaluation process, great care should be exercised to ensure that the evaluation instrument used is highly compatible with the stated purposes of the evaluation. Moreover, the six major functions of the principalship, particularly the central responsibility for instructional maintenance and improvement, should be used as the building blocks for construction of the evaluation instrument. And, finally, performance criteria should be used to measure the objectives of the evaluation. However, the performance criteria used as well as the entire instrument should be designed to ensure that meaningful differentiation of levels of performance can be assessed and displayed, and so that the necessary planned individualized professional development program (IPDP) can be more readily implemented.**

Rationale. The need for a close fit between the purposes of evaluation and the instrument employed to establish performance standards and assess achievement is obvious. The evaluation instrument is the primary means of implementing many of the objectives of evaluation. The recommended use of the six major functions of the

principalship as the building blocks for construction of the instrument is intended to call attention, in still another way, to the absolute necessity of a close match between the recommended role of the principal and the purposes of evaluation.

The exclusive use of nebulous or open-ended essay-type descriptions of either performance standards to be used or the assessment of results of an evaluation will in no way be adequate to serve the multiple purposes of evaluation called for here, or facilitate the successful implementation of the recommended procedures to govern the activity. Rather, what is required are performance criteria that are valid and reliable measures of characteristics that are being evaluated, supported by meaningful narrative statements.

The achievement of the three over-riding purposes of evaluation is also dependent upon the meaningful differentiation of levels of performance. The individual is not likely to know about his or her own professional development needs provided only a "satisfactory" or "unsatisfactory" rating on one or more of the performance criteria. Nor will the performance of the school or the school system be possible with such responses. Indeed, the very use of performance criteria implies a rating scale of different, and relatively sophisticated, levels of achievement.

Major Implication(s). No major regulatory or fiscal implications would be required to implement this recommendation. However, many districts will need to engage in a major overhaul of their existing evaluation instruments. This largely technical problem should be easily solved. Not so easily resolved, however, is the requirement that evaluators possess the requisite skills to effectively implement the differential instrument called for here. This absolute prerequisite is additional justification for the need to provide a comprehensive professional development program for evaluators in performance appraisal.

SECTION EIGHT
A Recapitulation of the Recommendations And Their Major Perceived Implications

This report contains a total of forty-eight (48) recommendations for enhancing the effectiveness of the principalship in the schools of this state. The recommendations span a full range of activities from strengthening the pool of candidates for the principalship (preparation programs, certification requirements, and selection practices), to enhancing the effectiveness of existing principals (professional development practices and evaluation practices). All of the recommendations on these issues were driven by a rationale on what the Commission believes should be the role and function of the principal in striving for quality schooling.

The distribution of the forty-eight recommendations by topical area is as follows:

the role and function of principals	1 recommendation
preparation programs	16 recommendations
certification requirements	7 recommendations
selection practices	9 recommendations
professional development practices	5 recommendations
evaluation practices	10 recommendations

For the most part, no significance should be attributed to the uneven number of recommendations across the six categories. All six areas are regarded to be critical by the Commission. Differences in the number reflect the particular approaches used by sub-committees in examining topics more than they do the relative importance that the Commission assigned to an issue. The one general exception to this pattern concerns preparation programs. The relatively large number of recommendations here does in fact reflect the importance the Commission has given to the need for strengthening precertification preparation programs for principals offered by colleges and universities.

A recapitulation of the themes of the forty-eight recommendations is presented in the following table. Also shown is the nature of the major perceived implication(s) of each recommendation for the organization that the recommendation is directed to (local school districts, colleges or universities, the Maryland State Department of Education, the Maryland State Board for Higher Education). Three possible types of major implications are established:

P = a program modification would be required to implement the recommendation
R = a regulatory modification would be required to implement the recommendation
F = major new financial resources would be required to implement the recommendation

TABLE 8.1

A Recapitulation of the Themes of the Commission Recommendations and Their Perceived Major Implications

Themes of the Recommendations[a]	Organization(s) Recommendation Directed to and Nature of Perceived Implication[b]			
	Local School Districts	Colleges and Universities	State Department of Education	State Board for Higher Education
SECTION TWO: ROLE AND FUNCTION				
2.1. principal should provide both the educational leadership and management direction for the school in six functional areas	P			
SECTION THREE: PREPARATION PROGRAMS				
Student Recruitment and Admissions				
3.1. C&Us and LEAs should engage in systematic and sustained recruitment; special attention should be given to recruitment of minority group members and women, and individuals outside education who can meet certification requirements	P	P		
3.2. admission standards should assure admission of only intellectually promising and those who have aptitude for the principalship; C&Us should make use of pre-admission skill exercises for both admission decisions and program planning		P,F	R	
3.3. individuals admitted to program must hold (or be eligible to hold) an advanced professional certificate (APC), or its equivalent, directly related to area of teaching		P	R	
3.4. C&U, aided by LEAs and MSDE, should aggressively seek ways to promote full-time study	F	P,F	F	
Program Accessibility				
3.5. MSBHE should accelerate planning for an approved program on Eastern Shore				P,F

TABLE 8.1 *(continued)*

Themes of the Recommendations[a]	Organization(s) Recommendation Directed to and Nature of Perceived Implication[b]			
	Local School Districts	Colleges and Universities	State Department of Education	State Board for Higher Education
Program Content				
3.6. program should include not less than 36 graduate semester hours of which 6 are devoted to clinical experiences		P	R	
3.7. program should give prominence to large body of conceptual knowledge and the development of clinical skills in ten areas		P	R	
3.8. program should reflect demonstrable differences in levels of the principalship		P	R	
3.9. program should include acquisition of cognitive knowledge in research methodologies		P	R	
3.10. numerous, well-designed, and diverse clinical experiences are required		P,F	R	
3.11. candidates for graduation must demonstrate competencies in clinical skill areas		P,F	R	
Methods of Instruction and Mode of Delivery				
3.12. C&Us should move away from almost exclusive use of the didactic approach in a classroom setting; should establish mechanism for joint development of instructional materials and joint use of promising technology		P		
Relations with Constituent Groups				
3.13. meaningful cooperation between C&Us and LEAs must be aggressively pursued, especially with regard to recruitment of promising candidates, development of intensive clinical experiences, and improvement of research component of program	P	P		

Program Funding

3.14. MSBHE, working with state's public C&Us, should seek changes in existing state funding formulas and adopt an allocation system that more adequately supports higher costs of graduate professional education	F		R,F

Program Evaluation

3.15. MSDE should undertake a comprehensive reassessment of its current program approval standards		P	
3.16 C&Us should engage in periodic comprehensive self-evaluations	P		

SECTION FOUR: CERTIFICATION REQUIREMENTS

Criteria for Initial Certification

4.1. applicants must satisfy 3 conditions: hold, or be eligible to hold, an advanced professional certificate (APC); hold a master's degree from an accredited C or U; and, have 5 years of successful teaching experience at appropriate level		R	
4.2. for graduates of a Maryland-accredited C or U, only those who complete an approved program for school-based administrators should be eligible for a certificate (a 5-year transition period should be allowed for implementation)		R	
4.3. graduates of an approved program for school-based administrators offered by an accredited C or U in Maryland must successfully complete an MSDE assessment exercise		R,F	
4.4. graduates of an accredited C or U outside the state must submit a comprehensive case file for review and approval by an MSDE panel, and those with less than 3 years of experience as a principal must successfully complete an MSDE assessment exercise		R,F	

Types of Certification and Duration Period

4.5. existing practice of awarding certificate based on level of assignment should be retained			
4.6. a certificate for a practicing principal should be required to be renewed every 5 years and requirements for renewal should be established in an individualized professional development plan (IPDP) designed by employing district and the candidate	P	R	

TABLE 8.1 *(continued)*

Themes of the Recommendations[a]	Organization(s) Recommendation Directed to and Nature of Perceived Implication[b]			
	Local School Districts	Colleges and Universities	State Department of Education	State Board for Higher Education
4.7. a certificate for non-practicing principal, including assistant principals, should be required to be renewed every 5 years; requirements for renewal may be met by completing locally approved workshops or programs, and/or MSDE approved workshops or programs, and/or coursework at a C or U; individuals not employed as a practicing principal for a 5-year period must successfully complete an MSDE assessment exercise	P	P	P,R,F	
SECTION FIVE: SELECTION PRACTICES				
5.1. LEAs should establish a comprehensive 3-step process that encompasses pre-screening, screening, and selection activities	P			
5.2. LEAs should establish and publish a comprehensive policy which identifies the process and procedures to be used	P,R			
5.3. LEAs should consider generating an applicant pool of potential candidates	P			
5.4. LEAs should establish selection practices that have applicant intake processes that are open to all who meet eligibility requirements	P			
5.5. LEAs should establish selection practices that balance multiple sources of evidence and multiple sources of assessment information	P			
5.6. LEAs should continually evaluate the results of their selection practices in terms of ethnic and gender representation	P			
5.7. personnel from each segment of the selection process should be involved in evaluation	P			

5.8.	comprehensive supply and demand study should be conducted periodically, sponsored by LEAs, C&Us, the MSDE, and the MSBHE	P	P	P	P
5.9.	beginning and career salaries must be competitive with business and government	F		F	
SECTION SIX: PROFESSIONAL DEVELOPMENT PRACTICES					
6.1.	a policy commitment and adequate financial support by LEAs, the MSDE, and C&Us are essential for the development and implementation of meaningful professional development programs	P,R,F	P,F	P,F	
6.2.	LEAs should be prime decision maker for the design and implementation of programs; programs should address district concerns as well as individualized professional development plans (IPDPs)	P			
6.3.	each LEA program should be developed as a result of a collaboration effort among the MSDE, C&Us, and other LEAs, especially where regional programs may be more feasible; C&Us are encouraged to provide personnel to LEAs; the MSDE should also develop programs that address state-wide concerns, in collaboration with LEAs	P	P	P	
6.4.	the administrative evaluation process of LEAs should also include individualized professional development plans (IPDPs) that contain objectives jointly agreed upon by the individual and the evaluator	P,R			
6.5.	the reward system used by C&Us must be modified so that incentives, not barriers, exist for faculty to actively participate in professional development programs		P		
SECTION SEVEN: EVALUATION PRACTICES					
Organizational Responsibility					
7.1.	the long-standing tradition of local control over all aspects of evaluation should be retained				

TABLE 8.1 *(continued)*

Themes of the Recommendations[a]	Organization(s) Recommendation Directed to and Nature of Perceived Implication[b]			
	Local School Districts	Colleges and Universities	State Department of Education	State Board for Higher Education
Purposes				
7.2. the overriding purposes of evaluation should be three-fold: serve as a means to help individuals improve their effectiveness; aid in improving the quality of education at the building site; and contribute to over-all school system performance	P			
Procedures to be Used				
7.3. six common components should be incorporated in all evaluations	P			
7.4. distinctions in the role and function of elementary, middle/junior high, and senior high principals should be appropriately reflected	P			
7.5. formal evaluations for both newly appointed principals and for those in first year of a reassignment should be conducted at end of first year, and at two-year intervals thereafter; prime responsibility for the evaluation should be assigned to an individual in regular contact with the evaluatee; however, great care should be exercised in establishing the number of principals assigned to one evaluator	P			
7.6. supporting data to be used in the evaluation should be established by the evaluator and evaluatee at commencement of the process; carefully constructed and highly individualized self-evaluations should be an integral part of the evaluation	P			
7.7. the processes and practices used by the principal in monitoring student performance data and faculty performance data and the way in which these data are used to achieve school system goals should be included in scope of the evaluation	P,F			

7.8.	LEAs should commit necessary resources for the periodic and systematic training in personnel appraisal for all evaluators	P,F
7.9.	all elements of the evaluation procedures used should be subject to periodic analysis; principals should be deeply engaged in these assessments	P
	The Nature and Use of Evaluation Instruments	
7.10.	great care should be exercised to ensure that the evaluation instrument is compatible with the stated purposes of the evaluation; six major functions of the principalship, particularly the central responsibility for instructional maintenance and improvement, should be used as building blocks for construction of the instrument; performance criteria should be used to measure objectives of evaluation; performance criteria, as well as entire instrument, should be designed to ensure that meaningful differentiation of levels of performance can be assessed and so that individualized professional development plans (IPDPs) can be readily implemented	P

Notes:

[a] Frequent organizational abbreviations used

LEA —local school system
C&U —college and university
MSDE —Maryland State Department of Education
MSBHE—Maryland State Board for Higher Education

[b] Nature of major perceived implication

P—program modification(s) required to implement
R—regulatory modification(s) required to implement
F—new financial resources required to implement